



## **TECHNICAL ADVISORY COMMITTEE GRANTS PROCEDURES MANUAL**

The Galapagos Life Fund has been established as a Delaware nonprofit, nonstock corporation to support and promote the maintenance, growth and security of the natural capital of the Galapagos Islands and their marine ecosystems by making grants to, or funding projects of, organizations, government agencies and other entities for relevant environmental and social development projects as informed by biodiversity, social, economic, sustainability and climate change matters and by pledging assets to secure loans and other obligations in furtherance of the purpose; provided, however, that funds made available to the Fund pursuant to the Conservation Funding Agreement, including any funds allocated to the CFA Endowment Account, shall be used to support only those projects consistent with the priorities set forth in Section 11.3(c) of the bylaws of the Fund. The Fund is administered by a Board of Directors.

The Fund's Technical Advisory Committee has been established to advise the Board of Directors on the disbursement of funds from the Fund.

This Procedures Manual is a guiding document for the Technical Advisory Committee and sets down the procedures for evaluation of grant proposals.

## 1. INTRODUCTION

This Grants Procedures Manual (hereafter referred to as “Procedures Manual”) provides guidelines for the Technical Advisory Committee of the Galapagos LifeFund (the “**Fund**”), which was legally created as a Delaware nonstock not for profit corporation on May 5, 2023. The establishment of the Technical Advisory Committee was agreed by the Fund’s Board of Directors (Board of Directors) and noted as a resolution in the Minutes of the First Meeting of the Board held on May 26 and 27, 2023.

The mandate of the Technical Advisory Committee is given in Article 2.3 of the Fund’s Operations Manual:

The Technical Advisory Committee: The members of the Technical Advisory Committee shall be comprised of at least two (2) Directors on the Board of Directors and at least one individual who has an expertise in scientific, environmental, social and conservation matters (one of which such individuals shall be the chairperson of such Committee) The Technical Advisory Committee shall review and comment on grant proposals (“**Proposals**”) and provide advice to the Board of Directors on technical matters and inquiries related to their field of expertise. The Technical Advisory Committee shall meet at the direction of the Board or the Directors who are on the Technical Advisory Committee when requested to discuss grant-related and technical matters.

This Procedures Manual represents an elaboration of the technical functions of the Technical Advisory Committee as mandated in Article 3.2 (*Annual Call for Proposals*) of the Operations Manual. Specifically, the Procedures Manual contains:

- a) Guidelines on the categories of Proposals that may be funded (this is periodically updated according to the evolving (investment or grant making) strategy of Fund).
- b) Notes on who may apply for grants.
- c) Grant categories (small, medium, large).
- d) Procedures for Annual Calls for Proposals.
- e) Format for applications for different grant categories (templates).
- f) Procedures for evaluation of Proposals (evaluation criteria).
- g) Format for contracts.

The Procedures Manual may be updated annually or whenever so requested by the Board of Directors. Subsequent to any revision the Procedures Manual must be submitted to the Board of Directors for approval.

## 2. THE TECHNICAL ADVISORY COMMITTEE

According to section 5.17 of the Fund's bylaws, the Board may allow persons with professional competence or national or international experts to be an ex-officio member of the Technical Advisory Committee (an “Ex-Officio Committee Member”), whose role is to advise on issues of grant awarding and supervision, or specific topics related to the funding needs of Galapagos that align with the priorities of the GLF. Members of the Technical Advisory Committee may propose potential candidates as ex-officio advisory members by submitting the candidate's resume and a summary of their experience in the specific topic(s) aligned with the priorities of the GLF. The final approval of ex-officio advisory members is made during a Board meeting.

Ex-officio advisory members are invited to participate in the meetings of the Technical Advisory Committee, as well as in the review of grant proposals, depending on topics related to their professional expertise. The advice given by experts ex-officio members of the Technical Advisory Committee is *ad honorem*. Ex-officio members of the Technical Advisory Committee are not entitled to vote and shall not

be taken into account for purposes of (i) determining a quorum or (ii) the number of Directors serving at any time. All members and ex-officio members of the Technical Advisory Committee are bound by the Fund's Conflicts of Interest Policy (Article 2.3 of the Fund's Operations Manual).

Removal, addition or substitution of the members and ex-officio members of the Technical Advisory Committee is at the discretion of the Board of Directors. Committee Members will serve three-year terms, which may be renewed one time at the Board's discretion. The term of an ex-officio advisor is linked to the member who proposed them; when this member leaves the committee, the external advisor must also withdraw.

### **3. FUNDING PRIORITIES**

In accordance with Section 11.3(c) of the Fund's bylaws and Section 4.01(g) of the Foreign Enterprise Support Agreement, the funds received by the Fund from the Conservation Funding Agreement and amounts allocated from the CFA Endowment Account shall only fund projects that (i) are designed to support and promote the maintenance, growth and security of the natural capital of the Galápagos Islands and their marine ecosystems and (ii) have a material nexus to near- or long-term biodiversity protection or management of the Hermandad Marine Reserve (the "**HMR**") or the existing marine reserve, including, in each case, without limitation, the following in order of priority:

1. Management of the existing marine reserve and the HMR (with priority for the HMR) including control, monitoring, surveillance, management, and enforcement.
2. Sustainability Commitment projects aimed to support the implementation of the Sustainability Commitments Agreement.
3. Sustainable fisheries, including, but not limited to, individual fishing quotas ("**IFQs**") systems, and a territorial use rights for fishing (TURF), including fishery monitoring and enforcement systems, gear change (Green Stick) organization of the IFQs and TURF and all expenses towards implementation.
4. Science and economics research projects including, but not limited to, a baseline study on the current and new reserves, total allowable catches for each fishery, value chain analysis, and the design of monitoring, and enforcement systems, both for the reserve and for fisheries.
5. Environmental education projects aimed at further educating the community on best practices for conservation and sustainability.
6. Sustainable tourism and Blue Economy projects, including, but not limited to, fund conversions of some fishermen to sustainable tourism (contingent on the Galápagos National Park's agreement and consent), as well as projects which directly support the sustainability of the archipelago as a result of tourism.
7. Other projects, including, but not limited to, focused on conservation and sustainability related projects of interest to the community of the Galápagos Islands;

The Board, guided by recommendations from the Technical Advisory Committee, will set its funding priorities for each Call for Proposals based on funds available, historical distribution of grants both geographically and thematically, national priorities, opportunities to leverage funds against other bi-lateral, multi-lateral, and private grants, etc.

## 4. WHO CAN APPLY?

Any government agency, non-governmental organization (NGO) registered and operating locally, civil society organization (CSO), fishing cooperative, parastatal organization or citizen of Ecuador may submit a Proposal to the Fund. Proposers must have legally existed and operated in the Galapagos for a minimum of two years. Institutions are required to have an office in the Galápagos during this period.

However, no more than fifty percent (50%) of the Grants given in any year by the Fund shall be distributed to the Recipients that are Government Affiliates. In addition to the foregoing limitation, the Fund shall not make Grants to the Galapagos National Park Directorate for the purpose of funding projects and/or staff that have been previously funded in the last five years pursuant to the annual budget allocated by the government of the Republic of Ecuador for the Galapagos National Park Directorate (the “Annual Park Budget”).

In addition, if the Annual Park Budget for any year falls below the equivalent of US [\$20] million (the difference is called the “**Deficit Amount**”), the aggregate amount of the Grant that Recipients that are Government Affiliates may receive from the Fund in such year shall be reduced by the Deficit Amount. By way of example only, if the Annual Park Budget for 2024 is \$18 million, the Deficit Amount is \$2 million, and if the aggregate value of the Grant for such year is \$13 million, 50% is \$6,5 million. The aggregate value of the Grant available to fund government agencies of the Republic of Ecuador shall be reduced by \$2 million to \$4.5 million (50% of \$13 million reduced by the Deficit Amount).

Overseas-based organizations are not eligible, although Proposals from and led by eligible local organizations may include overseas-based partners.

In the case of citizens of Ecuador applying directly to GLF Call for Proposals, their individual application will be accepted for consideration only under the category of small grants. Moreover, the specific requirements will be detailed under each call of proposals.

The Board of Directors may decide to restrict the participation of any of the above classes of persons or organizations in any Call for Proposals, and this shall be indicated in the scope of the Call for Proposals.

Proposers will be required to include details of qualifications and experience to ensure that a sound judgment can be made concerning the proposer’s ability to deliver the project (the required information is detailed in the attached proposal format).

## 5. GRANT CATEGORIES, EXCLUSIONS AND CO-FINANCING

### 5.1 Categories

There are three categories of grant that may be applied for:

- **Small grant** up to US\$100,000
- **Medium grant** over US\$100,000 up to US\$250,000
- **Large grant** over US\$250,000.

All grants will be short listed on the basis of the concept (stage 1), and then awarded on the basis of a proposal and timeline (stage 2).

Normally each Call for Proposals will be open to applications for all categories of grant, unless the Board

of Directors determines otherwise, in which case this will be indicated in the scope of the Call for Proposals.

Applications that fall outside the given categories will not be considered.

Environmental and social safeguards must be observed (Articles 3.4 (*Environmental Safeguards*) and 3.5 (*Social Safeguards*) of the Operations Manual). To this end, the GLF has developed an Environmental and Social Management System (ESMS) to identify, manage and monitor the environmental and social risks associated with the projects it finances or supports. For each Call for Proposal announced, the GLF team will offer training on these requirements and procedures. The beneficiaries of the GLF have the primary responsibility to assess and manage the environmental and social risks throughout the entire project lifecycle.

The maximum duration of grant awards is 12 months for a small grant, 24 months for medium grants, and 36 months for a large grant. At the request of the grantee, these grant periods may be extended for six months for small and medium grants and one year for large grants. It is important to note that the duration of the grant award will be subject to review depending on the nature of each call for proposals.

## **5.2 Exclusions**

The Board of Directors may introduce exclusions that will not be considered for funding. Initial exclusions are as follows:

- Funds may not be used for activities concerned with helping a profit or non-profit making entity increase its production and revenue.
- Funds may not be used for the following (specific exclusions):
  - Individual sponsorships for participation in workshops, seminars, conferences, congresses, or individual scholarships.
  - Debts and provisions for losses or debts.
  - Interest owed.
  - Items or costs incurred by or through projects already financed under another framework.
  - Purchases of land or administrative buildings.
  - Currency exchange losses.
  - Taxes.
  - Credits to third parties.
  - Activities mentioned in the Exclusion List of the GLF Environmental and Social Management System Manual (Annex B of the ESMS).
- Management fees (indirect operational costs like office rental, telephone, courier, etc.,) applied by the proposer may not be more than 10% of the total grant.
- Contingency costs should not be included. However, if there is a well-reasoned justification, it will be submitted for consideration.

## **5.3 Co-financing**

Co-financing is not mandatory for small grants, but in-kind co-financing is encouraged. Medium grants require an in-kind or cash co-financing equivalent to at least 10% of the amount being requested from the

Fund.

Applicants for large grants must provide co-financing equivalent to at least 25% of the amount being requested from the Fund. Indicative co-financing must be provided at the concept stage, and an attestation of the available co-financing must be submitted with the full proposal, which template is provided on [Annex 2](#).

Co-financing may be cash or in-kind for small and medium grants, but in-kind co-financing must be realistic and documented. Large grants require cash co-financing.

Fund grants may be proposed as co-financing in Proposals to other funding agencies.

## 6. CALL FOR PROPOSALS

### 6.1 Schedule

A Call for Proposals will be made every [six months]<sup>1</sup>. The responsibility of issuing the Call for Proposals lies with the Fund staff as per Article 3.2 (*Annual Call for Proposals*) of the Operations Manual. A timeline outlining the key dates for each Call for Proposals will be available through GLF's official communication channels. This will include the initiation of the Call for Proposals (CfP), CfP webinar, CfP workshop for each island, deadline for questions and answers, and the application deadline.

Activities GLF staff	Month											
	1	2	3	4	5	6	7	8	9	10	11	12
Prepare and publish the Call for Proposals												
Respond to questions for proposers and publish the answers												
Receive the concept notes and review administrative compliment. Submit concept notes to the Technical Advisory Committee												
Inform the evaluation results to the proposers. Request the preparation of the complete proposal from those shortlisted												
Receive full proposals. Review administrative compliance, E&S Assessment and ESMP. Submit full Proposals to the Technical Advisory Committee												
Prepare paperwork for signing of the Grant Agreement												
Sign the Grant Agreement												

<sup>1</sup> The first Call for Proposals will be in November 2024.



grant projects will be required to indicate an in-kind or cash co-financing of at least 10% of the financing requested to the Fund; small projects proposers are encouraged to identify at least some co-financing which may be in-kind.

Furthermore, all proposers are required to conduct an initial Environmental and Social (E&S) Screening exercise, using the Environmental and Social Screening and Assessment (ESSA) tool from the ESMS Manual (Annex E of the ESMS Manual). This initial screening determines the project's risk category (A, B or C), as well as the appropriate level for the full Environmental and Social Assessment (E&S Assessment) and the relevant safeguard instruments that must be submitted as part of the full proposal.

The format (template) for a concept is given in Annex 1.

### Full proposals

Full proposals will be requested to be prepared for all short-listed proposals. The Technical Advisory Committee may request changes to the original concept, without by so doing changing the general nature or objective of the proposal.

The Technical Advisory Committee may suggest a partner to assist the proposer in writing the full grant proposal, and may request the Fund, at the discretion of the Board of Directors, to provide the proposer a small proposal preparation grant, between US\$2,500 and US\$5,000 depending on the type and nature of the grant, the cost of which will be included in the total project cost proposed.

During this stage, all proposers must conduct a complete preliminary E&S Assessment, as outlined in the ESMS Manual, to identify potential environmental and social risks and impacts that may arise from their projects. Based on the results of the E&S analysis, proposers submit a preliminary Environmental and Social Management Plan (ESMP) and additional safeguard instruments, as needed.

The format (template) for a full proposal is given in Annex 2.

## **6.3 Evaluation of concepts and full proposals**

### Administrative compliance

Concepts and full proposals will be received by the Fund. All full proposals received will be required to pass the administrative compliance stage before being forwarded to the Technical Advisory Committee. Fund staff will check that submissions are administratively compliant by applying the following procedures:

In the case of initial concepts:

- a) Ensure that the subject of the proposal is compliant to the priorities for funding.
- b) Verify that the proposer is eligible.
- c) Verify that the proposal has been submitted in complete form before the imposed deadline for receiving grants.
- d) Check the budget is compliant with the different categories.
- e) Verify compliance with the initial GLF E&S Screening.

For both concepts and full proposals:

- a) Ensure that all required documentation has been received (if papers are missing the Fund will contact the proposer and request the proposal be resubmitted)



For full proposals:

- a) Evaluate the findings of the E&S Assessment.

Referring to the above, Fund staff will complete the cover sheet to the Evaluation Form prior to submitting the form and the concept or full proposal to the Technical Advisory Committee. (Annex 3)

#### Technical evaluation

The Fund will be responsible for circulating a dossier containing all concept notes and full proposals to be evaluated, with attached administrative compliance sheets, to each member of the Technical Advisory Committee at least 10 working days prior to the date of the scheduled evaluation meeting. For full proposals, the file also includes the evaluation report of the findings from the complete E&S Assessment.

Board Members as well as external advisors who are members of the Technical Advisory Committee are required to sign a confidentiality agreement prior to receiving concept notes and full proposals to be evaluated. In addition, in case that proposals are sent by any public or private organization that has a representative participating in the Technical Advisory Committee, this representative cannot participate in the evaluation process, nor the Committee or Board discussion related to that specific call of proposals.

The individual members of the Technical Advisory Committee will complete their technical assessments and scoring prior to the evaluation meeting.

Technical assessment of concepts and full proposals will involve the allocation of scores for elements of the submitted documentation. The evaluation of the concept note focuses on whether the proposal addresses priority issues and its cost-effectiveness. The evaluation of full proposals looks more closely at the project design, implementation and budgeting.

In broad terms, the proposals will be expected to:

- a) Contribute to national priorities for conservation and adaptation as specified above in Section 3 and as set forth in Section 11.3(c) of the bylaws of the Fund and Section 4.01(g) of the Foreign Enterprise Support Agreement.
- b) Build upon previous projects or develop synergies with on-going projects funded by the Fund or other sources, and do not duplicate previous or on-going projects funded by the Fund or other sources<sup>3</sup>;
- c) Provide clear and demonstrable benefits proportional to the grant investment (value for money); and
- d) Be observant of and compliant with environmental and social safeguards.

The evaluation meeting will operate as follows:

- Submission by members of their individual scores three working days prior to the meeting and

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<sup>3</sup> The Technical Advisory Committee will verify this against the 'List of Conservation and Adaptation Projects in the Galapagos' that will be developed as a guide to grant awards and updated annually.

compilation into a matrix by Fund staff before the meeting.

- Calculation of average score by Fund staff. Proposals scoring below 25 marks are automatically rejected.

When all proposals have been scored:

- Ranking of concepts and full proposals (separately for small, medium and large grants).
- Discussion of grants to be awarded. In the case of more proposals being approved than funds are available, the Technical Advisory Committee may decide to reject additional grants, or to delay funding until more funds are available.
- Formulation of recommendations to the Board of Directors.

The assessment forms, including scoring to be used, are included as Annex 3 (concepts) and Annex 4 (full proposals).

## **7. GRANT AWARDS**

The Technical Advisory Committee at the end of each evaluation meeting will make recommendations to the Board of Directors for grants to be awarded. For each Proposal, a short text will be provided giving reasons for a) rejection or b) recommendation for a grant award.

A template for a grant agreement is attached (Annex 5).

**ANNEX 1.**  
**TEMPLATE FOR CONCEPT NOTE**



## CONCEPT NOTE

### INSTRUCTIONS

#### **Read the following before designing your concept**

All proposals submitted to the Fund must have as their main purpose the conservation and/or management of marine and coastal biodiversity and/or ecosystem-based adaptation to climate change in the Galapagos.

Refer to the Call for Proposals to see the priorities for funding in the current round of the Fund grants. Do not submit a proposal that falls outside of these identified priorities.

Do not include activities or costs that are defined as ineligible by the Fund.

Proposals must be compliant with Environmental and Social Safeguards applied by the Fund.

Refer to the Fund website for information on the above.

In the event of specific questions, contact the Fund no: <phone>

#### **In preparing your concept**

Be clear and concise.

Follow the guidelines and instructions (major points) described below.

The concept should be provided in Font Times New Roman size 11 characters, single spacing.

The concept should not exceed four (4) pages in length.

## **Fund Project Concept Note**

<b>Small grant</b>	
<b>Medium grant</b>	
<b>Large grant</b>	

(tick)

### **BACKGROUND INFORMATION**

<b>Title</b>	
<b>Name of applicant</b>	<i>Organization/institution or individual.</i>
<b>Contact details</b>	<i>Contact person (if an institution) Include address, e-mail and phone number</i>
<b>Partner organizations</b>	<i>Include if applicable and will support the implementation</i>
<b>Project location and area of influence</b>	
<b>Duration</b>	<i>In months: small grants not to exceed 12 months; medium grants not to exceed 24 months; large grants not to exceed 36 months</i>
<b>Total budget requested</b>	
<b>Indicative co-financing</b>	<i>Co-financing is not mandatory for small grants (but may be indicated if so wished).</i>

### **PROJECT DESCRIPTION**

<b>Abstract (500 words)</b>
<p><i>Briefly describe the proposed project. Must include:</i></p> <ul style="list-style-type: none"> <li>- <i>Project context</i></li> <li>- <i>Problem to be solved and threats or pressures</i></li> <li>- <i>Justification</i></li> <li>- <i>Proposed solution and its main expected outcomes.</i></li> </ul> <p><i>If your project overlaps or duplicates activities of a previous or on-going project funded by the Fund or another donor be sure to indicate here why your project is different and /or necessary. Failure to do so will mean automatic rejection of the proposal.</i></p> <p><i>If the project is part of a coordinated proposal to several donors simultaneously this must be stated.</i></p>

<b>Objective/s</b>														
<i>State the general objective and outputs (specific objectives) of the project (what is the problem or issue that will be addressed)</i>														
<b>Beneficiaries and contributions to livelihoods</b>														
<i>Who or what will benefit from this project, e.g. species, ecosystems, people, homes, etc.</i>														
<b>Outcomes and impact indicators</b>														
<i>What are the likely outcomes of the project (what will be achieved at project end) and what will be delivered (physical items, materials or infrastructure, training or skills development, etc.)?</i>														
<b>Activities</b>														
<i>Briefly list the principal activities to be undertaken to implement the project. Do they build upon any existing projects?</i> 1.1 1.2 2.1 2.2 Etc.														
<b>Duration and principal project dates</b>														
<i>Briefly indicate the schedule or phases of the project</i>														
<b>Sustainability and replication</b>														
<i>Indicate how the proposed activities are sustainable and may be scaled up or replicated. This can include an indication of follow-up activities, strategies, ownership etc.</i>														
<b>Strategic alignment</b>														
<i>Explain alignment with GLF priorities and specific theme/topic of the call for proposals, Sustainable Development Goals-SDGs, and Galapagos Plan 2030.</i>														
<b>Monitoring and evaluation</b>														
<i>Include the strategies and monitoring activities that will be carried out to ensure the success of the project. Including the main indicators for evaluating progress and success of the project.</i>														
<b>Potential social risks</b>														
<i>Identify and list the potential social risks that the project might have during its implementation.</i>														
<b>Potential environmental risks</b>														
<i>Identify and list the potential environmental risks that the project might have during its implementation.</i>														
<b>Summarized budget</b>														
<i>Refer to the activities listed above and note the cost:</i>														
<table border="1"> <thead> <tr> <th>Outputs / Activities</th> <th>Goods</th> <th>Services</th> <th>Consultancies</th> <th>Fees</th> <th>Total</th> <th>%</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Outputs / Activities	Goods	Services	Consultancies	Fees	Total	%							
Outputs / Activities	Goods	Services	Consultancies	Fees	Total	%								

<b>1</b>						
<b>1.1</b>						
<b>1.2</b>						
<b>1.3</b>						
<b>2</b>						
<b>2.1</b>						
<b>2.2</b>						
<b>2.3</b>						
<b>3</b>						
<b>3.1</b>						
<b>3.2</b>						
<b>3.3</b>						
<b>Total</b>						
<b>%</b>						

*Management fee (indirect operational costs if any, like office rental, telephone, courier, etc., salaries excluded) – may not be more than 10% of project total.*

**TOTAL PROJECT COST: US\$**

#### **Indicative co- financing**

*Co-financing is not needed for small grants (but may be indicated if so wished).*

*For medium and large grants, state the origin of co-financing and the amount to be provided, also note if it is a cash contribution or in-kind.*

## **ANNEXES**

### **1. ANNEX 1. EXPERIENCE AND CAPACITY OF THE PROPOSER AND PARTNERS.**

Summary of experience. If an organization, give an annotated list of similar projects implemented. If an individual, provide a CV

### **2. ANNEX 2. RESULTS OF THE INITIAL ENVIRONMENTAL AND SOCIAL SCREENING**

**The application must not exceed four (4) pages, not including the Annex.**

Be sure to review and complete the applicant screening checklist and Excel tool included in the information packet.

## **Evaluation list of the Proponent's Experience with ESMS**

<b>Experience with ESMS</b>	<b>YES</b>	<b>NO</b>
Have you reviewed the GLF Environmental and Social Management System (ESMS) Manual, including the procedures? Will you be able to comply with it?		

Can you confirm that you have reviewed the updated Exclusion List of the GLF and that your proposed project does not include any of these excluded activities?		
Has your organization been involved in any human rights violations over the last five years? If so, please indicate the status of any investigation.		
Does your organization have experience in applying international safeguard standards? (e.g., World Bank Environmental and Social Standards, etc.)		
Does your organization have experience in conducting environmental and social assessments (e.g., EIA, ESIA) and developing environmental and social safeguard tools? (e.g., grievance mechanisms, stakeholder engagement plans, free, prior, and informed consent protocols, access restriction process frameworks)		
Does your organization have experts in environmental and social safeguards?		
Does your organization have gender equality experts?		
Will you work with internal staff to conduct additional E&S assessments (if necessary)?		
If you work with external staff, have you identified the appropriate expertise for the development of the safeguard tools?		



**ANNEX 2.**  
**TEMPLATE FOR FULL PROPOSAL**

# **GALAPAGOS LIFE FUND (Fund)**

## **FULL PROPOSAL**

### **INSTRUCTIONS**

#### **Read the following before developing your full proposal**

All proposals submitted to the Fund must have as their main purpose the conservation and/or management of marine and coastal biodiversity and/or ecosystem-based adaptation to climate change in the Galapagos.

Refer to the Call for Proposals to see the priorities for funding in the current round of Fund grants. Do not submit a proposal that falls outside of these identified priorities.

Do not include activities or costs that are defined as ineligible by the Fund.

Proposals must be compliant with Environmental and Social Safeguards applied by the

Fund. Refer to the Fund's website for information on the above.

In the event of specific questions, contact the Fund Secretariat no: <phone>

#### **In preparing your full proposal**

Be clear and concise; stick to the page limit

The budget must be based on real costs (except for subsistence costs and indirect costs). It is, therefore, in the applicant's interest to provide a realistic and cost-effective budget.

The full proposal should be provided in Font Times New Roman size 11 characters, single spacing.

## **Fund Project Full Proposal**

### **PART 1. NARRATIVE (Maximum 10 pages)**

#### **1. COVER PAGE**

<b>Title</b>	
<b>Name of applicant</b>	<i>Organization/institution or individual.</i>
<b>Contact details</b>	<i>Contact person (if an institution) Include address, e-mail and phone number</i>
<b>Partner organizations</b>	<i>Include if applicable and will support the implementation</i>
<b>Project location and area of influence</b>	
<b>Duration</b>	<i>In months: small grants not to exceed 12 months; medium grants not to exceed 24 months; large grants not to exceed 36 months</i>
<b>Total budget requested</b>	
<b>Indicative co-financing</b>	<i>Co-financing is not mandatory for small grants (but may be indicated if so wished).</i>

#### **2. SUMMARY (max 1 page)**

The summary should briefly describe:

- Brief description of the issue to be addressed (the problem) and how it will be addressed (the solution)
- Justification
- Overall objective(s) (outcome); Specific objectives (outputs)
- Principal activities and rationale
- Beneficiaries and contributions to sustainable livelihoods
- Phases of the project

#### **3. CONTEXT AND JUSTIFICATION**

This section should include in detail:

A detailed presentation and analysis of the threats or the issue to be addressed (problem statement).

- The justification of the project. This should explain the reasoning behind the need for the proposal and demonstrate the relevance of the proposal to the identified threats. It should also explain the reasons and interest in developing a partnership with other organizations, such as government agencies, NGOs, or community organizations, for the implementation of the project.
- If the project is location-based, include a description of the target location and its relevance, the potential for scaling up, etc.

#### **4. PROJECT OBJECTIVES AND EXPECTED RESULTS**

This section should contain a clear and specific statement of what the proposed project will accomplish. This section should include:

- The specific **objective/s** of the proposal.
- The **specific targets** that the project aims to accomplish. *How will the actions provide the desired solutions?*
- **Expected results.** *The expected results are the measurable changes that will have occurred by the end of the project.*
- *Impact indicators*

#### **5. DESCRIPTION OF THE ACTIVITIES AND THEIR EFFECTIVENESS**

This section should describe the methodology of the proposal. Activity descriptions should be as specific as possible, identifying how they will contribute towards accomplishing the project's objectives. A clear and direct link between the activities and the target should be provided. **(Weaknesses in this area may be a major reason for the proposal being returned for re-submission.)**

In describing the activities, an indication should be given regarding the involvement of partners – the organizations and individuals involved in the activities – with reference to the roles and responsibilities of the various participants/organizations and the reasons for which these roles have been assigned to them.

Describe the possibilities for replication and extension of the outcomes (multiplier effects).

Use the following table, describing the project implementation plan, to indicate the sequence of all major activities and implementation milestones, including targeted beginning and ending dates of the project for each step. A monitoring plan should be included within the project to ensure the collection and archiving of relevant data or information necessary for evaluating the progress and impacts of the project.

## Logical Framework Matrix

PROJECT SUMMARY		INDICATORS	MEANS OF VERIFICATIÓN	ASSUMPTIONS
Goal				
Outcome(s)				
Outputs				
Activities				

## Activity implementation schedule

Activities per output	Description	Responsible	Year 1												Year 2	Year 3
			1	2	3	4	5	6	7	8	9	10	11	12		
1																
1.1																
1.2																
1.3																
2																
2.1																
2.2																
2.3																
3																
3.1																
3.2																
3.3																

## **6. RISKS TO SUCCESSFUL IMPLEMENTATION AND MITIGATION MEASURES**

Identify and list the major risk factors that could result in the project not producing the expected results. These should include both internal factors (for example, the technology involved fails to work as projected) and external factors (for example, changes to laws or regulations).

<b>Risk/Factors</b>	<b>Risk category</b>	<b>Level of impact</b>	<b>Risk mitigation measures</b>

## **7. MONITORING AND EVALUATION**

Among the key issues to be addressed in this section are:

- How the progress and performance of the project will be monitored.
- How the impact of the project will be assessed in terms of achieved the project's outcome(s);
- How the participation of local partners or stakeholders in the project will be achieved.
- How are project monitoring and evaluation activities financed?

<b>Indicator</b>	<b>Base line</b>	<b>Target</b>	<b>Frequency</b>	<b>Responsible</b>	<b>Budget</b>

## **8. SUSTAINABILITY AND REPLICATION**

This section should explain clearly how the project interventions will be sustained beyond the lifetime of the project. The potential for scaling up or replication should also be explained.

## **9. POTENCIAL ENVIRONMENTAL RISKS OF THE PROJECT**

This section should explain in detail the potential environmental risks, if any, that the implementation of the project might have. These risks were listed in the concept note submitted but should be expanded here with their respective explanations and the explanation of how to mitigate them.

## **10. POTENTIAL SOCIAL RISKS OF THE PROJECT**

This section should explain in detail the potential social risks, if any, that the implementation of the project might have. These risks were listed in the concept note submitted but should be expanded here with their respective explanations and the explanation of how to mitigate them.

## **11. MECHANISMS TO ENSURE GENDER EQUITY**

This section should explain the strategies and mechanisms that will be included in the project to ensure proper gender equity.

## PART 2. PROJECT BUDGET INFORMATION (Maximum 3 pages)

### Project Funding Summary:

(Adapt this table to the phases or lifetime of your project)

Funding Source	Year 1	Year 2	TOTAL
Amount requested from Fund			
Contributions from your organization (a):			
<i>Specify...</i>			
Other contributions (b):			
<i>Specify...</i>			
<b>Total Project Cost</b>			

- (a) Itemize any contribution to be made by your own organization, including cash and in-kind contributions.
- (b) Itemize all co-financing contributions, including cash and in-kind contributions, and including the source of the contribution (e.g. Private partnership with local business, other donor funds) the nature of the contribution (e.g. labour, land, cash), and an indication of whether the contribution is already committed. (Attach letter of commitment if possible)

### Activity-based budget:

Objectives/Outputs	Activities	Total cost of Activity	Amount requested from Fund	Co-financing
Objective/Output 1	Activity 1.1			
	Activity 1.2			
	Activity 1.3			
Objective/Output 2	Activity 2.1			
	Activity 2.2			
	Activity 2.3			
Etc.				
	<b>TOTAL</b>	<b>US\$</b>	<b>US\$</b>	<b>US\$</b>

Once a project has been approved for funding, the budget information becomes part of the binding contract between the Fund and the proposing organization.

The creation and management of a realistic budget is an important part of developing and implementing a successful project. Careful attention to issues of financial management and integrity will enhance the effectiveness and impact of the project.

The following important principles should be kept in mind in preparing a project budget:

- Only include in the budget costs which directly relate to efficiently carrying out the activities and producing the objectives which are set forth in the proposal. Other associated costs should be funded from other sources.



- The budget should be realistic. Find out what planned activities will actually cost, and do not assume that you will be able to make do for less.
- The budget should include all costs associated with managing and administering the project. In particular, include the cost of monitoring and evaluation.
- Funds should be spent according to the agreed budget. All relevant financial records should be made available, including original receipts and invoices. These may be independently audited, and may become public information.
- The figures contained in the budget information sheet should agree with those on the proposal cover sheet and in the text of the proposal.
- For auditing purposes all paperwork of the grantee should be reserved for a minimum of seven years.

### **Budget categories:**

Provide a breakdown of the annual budget requested from the Fund and from co-financing into the following categories

<b>Expenditure Category</b>	<b>Year 1</b>		<b>Year 2</b>		<b>Year 3</b>		<b>Total</b>
	<b>GLF</b>	<b>Co-finance</b>	<b>GLF</b>	<b>Co-finance</b>	<b>GLF</b>	<b>Co-finance</b>	
1. Personnel/Labor							
2. Equipment/Materials							
3. Training/Seminars/Workshops							
4. Third party contracts							
5. Incidentals – stationary, communications, etc.							
6. Other costs (specify)							
7. Management costs (maximum 10%)							
<b>Sub total</b>							
<b>Total Projects Cost</b>	<b>US\$</b>						

## **PART 3. ATTACHMENTS (Maximum 5 pages)**

### **ANNEX 1. CAPACITY AND EXPERIENCE OF THE ORGANIZATION**

This annex should provide information on the profile of the proposer (organization or individual) and the main partners. In addition, it must clearly demonstrate that the proponent (with the support of partners, if applicable) has the capacity, commitment and experience in similar actions to successfully implement the proposed project. This section should include:

- Nature, purposes and main activities carried out by the proponent; if it is an organization, legal status, date of creation and governance.
- Administrative framework: number of paid employees, membership in associations or groups (participation in a network), registration in the public administration.
- Description of past or current successful experience(s) and partnership, relevant to this proposal. Please provide examples of relevant projects carried out to date, with a brief description including: project title, implementation period, project manager, partners, budget, donor, contact person and email/fax of the donor agency.
- Include the institutional CV of the applicant institution and implementing partners.

### **ANNEX 2. CO-FINANCING AND LETTERS OF SUPPORT**

This annex must include:

- The detail of the co-financing established for the project, which is mandatory for large grants and optional for medium and small grants.
- Letters of support from implementing partners and/or other institutions that indirectly support the project.

### **ANNEX 3. RESULTS OF THE INITIAL E&S EVALUATION (E&S ASSESSEMENT)**

### **ANNEX 4. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN (ESMP) OF THE PROJECT – PRELIMINARY VERSION**

(Include format link)

### **ANNEX 5. PROJECT SAFEGUARDS INSTRUMENTS – PRELIMINARY VERSION**

(Include format link)

### **ANNEX 6. TERMS OF REFERENCE – TECHNICAL SPECIFICATIONS FOR PROCUREMENTS, CONSULTANTS AND PROJECT SUPPLIERS – PRELIMINARY VERSION**

**ANNEX 3**

**CONCEPT EVALUATION FORMAT**

**GALAPAGOS LIFE FUND (Fund)**

**TECHNICAL ADVISORY COMMITTEE**

**CONCEPT EVALUATION SHEET**

**A. Administrative Compliance**

*(To be completed by Fund Staff)*

**Project Title:**

**Applicant:**

**Date evaluated:**

Item	Yes?
<b>Eligibility</b>	
1. Is the applicant eligible under this round?	
2. Does the proposal match the GLF grant categories?	
3. Has the applicant completed the initial E&S screening and are the activities described in their concept note not part of the GLF Exclusions List?	
<b>Completeness of submission</b>	
3. Has the concept note been submitted before the deadline?	
4. Are the required background information (if an organization) or CV (if an individual) included	
5. Is the itemized budget included?	
6. Is indicative co-financing provided at a level matching the Fund grant request (large projects); is there at least some co-financing (small projects)?	
<b>Project Format</b>	
7. Is the concept note provided in the correct format (using the template provided)?	
Decision on administrative compliance of the project	
Pass (signature)	

**B. Evaluation of the Project Concept**

*(By the Technical Advisory Committee)*

The evaluation of the concepts that have passed the administrative compliance check will be done by assessment of the major points described in the evaluation grid below. The total score is based on a possible 50 points, in accordance with the importance given to the criteria provided in the evaluation grid.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good. Minimum acceptable total score is 25.

	<b>Scores</b>	
<b>1. Relevance of the project</b>	Sub-score	
1.1 Relevance of the project to addressing GLF's vision, priorities and the purpose of the Call for Proposals.	5	
1.2 Does the proposal accurately reflect and complement the current status of activities in the proposed field and not duplicate other initiatives?	5	
<b>2. Effectiveness and feasibility of the project</b>	Sub-score	
2.1 Is the problem or issue that the project will address clearly identified?	5	
2.2 Is the project realistic and likely to have the expected outcomes/impacts within the expected timeframe?	5	
2.3 Are the proposed activities practical and consistent in relation to the objectives, purpose and expected results?	5	
2.4 Is there a good engagement of stakeholders and partners?	5	
<b>3. Sustainability of the project</b>	Sub-score	
3.1 Is the project likely to be sustainable?	5	
3.2 Is their potential for replication or scaling up?	5	
<b>4. Budget</b>	Sub-score	
4.1 Is the budget (including co-financing) appropriate to the proposed activities?	5	
4.2 Is the budget breakdown clear and realistic?	5	
<b>TOTAL SCORE</b>	<b>50</b>	

Signature of evaluator .....

## ANNEX 4

### FULL PROPOSAL EVALUATION FORMAT

#### GALAPAGOS LIFE FUND (Fund)

#### GRANTS COMMITTEE **FULL PROPOSAL EVALUATION SHEET**

##### A. Administrative Compliance

*(To be completed by Fund Staff)*

**Project Title:**

**Applicant:**

**Date evaluated:**

Item	Yes?
<b>Eligibility (checked at concept stage)</b>	
	Yes
<b>Completeness of submission</b>	
1. Has the full proposal been submitted before the deadline?	
2. Are the required draft versions of the ESMP and safeguards (annexes) included?	
3. Are the required background information (if an organization) or CV (if an individual) included (annexed)?	
4. Is the itemized budget included?	
5. Is indicative co-financing provided at a level matching the Fund grant request?	
<b>Project Format</b>	
5. Is the full proposal provided in the correct format (using the template provided)?	
Decision on administrative compliance of the project	
Pass (signature)	

## B. Evaluation of the Project Full Proposal

(By the Technical Advisory Committee)

The evaluation of the concepts that have passed the administrative compliance check will be done by assessment of the major points described in the evaluation grid below. The total score is based on a possible 55 points, in accordance with the importance given to the criteria provided in the evaluation grid.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good. Minimum acceptable total score is 25.

	Scores	
	Sub-score	
<b>1. Implementation capacity</b>		
1.1 Capacity of the organization or individual to implement the proposed project?	5	
1.2 Experience of the organization or individual with similar projects?	5	
<b>2. Project objectives and activities</b>	Sub-score	
2.1 Is the project logic clearly defined – are the activities likely to achieve the outputs and the outcome (objective)?	5	
2.2 Are project activities clearly laid out and achievable within the stated timeframe?	5	
2.3 Are risks identified and are they effectively mitigated?	5	
2.4 Are indicators and a means of monitoring progress against the indicators clearly defined?	5	
2.5 Are the means whereby the project interventions will be sustained and replicated clearly defined?	5	
<b>3. Budget*</b>	Sub-score	
3.1 Are there clearly identified and realistic contributions from the proposer and from co-financiers?	5	
3.2 Is the budget breakdown by activities clear and realistic?	5	
3.3 Is the budget breakdown by categories appropriate and likely to be cost effective?	5	
<b>4. ESMP and safeguards</b>		
4.1 Are the safeguards instruments and the Environmental and Social Management Plan (ESMP) clear and realistic?	5	
<b>TOTAL SCORE</b>	<b>55</b>	

Signature of evaluator .....

