



IUCN Oceania Tel. +679 3319084
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**International Union for Conservation of Nature & Natural Resources
Oceania Regional Office**

Private Mail Bag 5 Ma'afu Street, Suva, Fiji Islands

tel. +679 3319084; fax +679 3100128;

<http://www.iucn.org/oceania>

**Energy, Ecosystems & Sustainable Livelihoods (EESLI) Small Grants Programme
Application Form**

IUCN Oceania Regional Office, in partnership with the Governments of Austria, Italy, Luxembourg, and Spain, invites expressions of interest for project funding from a Small Grants Programme focusing on renewable energy and energy efficiency measures throughout the countries of Oceania through its Energy, Ecosystems and Sustainable Livelihoods Initiative (EESLI). The EESLI Small Grants Programme makes available its advantages, privileges, and opportunities to all residents of Pacific Island Countries for the purpose of cultivating community projects and micro/small enterprises (MSEs) furthering the goals and priorities of the IUCN Oceania Regional Office's Energy Programme, which aims to increase energy independence and access for the Pacific Island Countries while valuing nature and natural resources in accordance with IUCN's Oceania Regional Plan.

The EESLI Small Grants Programme will begin accepting proposals from community organizations & enterprises for its 2017 project financing round as outlined below:

1. Funding Plan

A Small Grant (up to **USD20,000**) for energy **projects** focused on **community** and **micro-enterprise** development that value and conserve nature and providing nature-based solutions to development challenges.

2. Eligible Countries

Cook Islands 2. Federated States of Micronesia 3. Fiji 4. Kiribati 5. Nauru 6. Niue 7. Palau 8. Papua New Guinea 9. Republic of Marshall Islands 10. Samoa 11. Solomon Islands 12. Tonga 13. Tuvalu 14. Vanuatu

Note: Donor stipulations mandate funds may not go towards paying taxes on expenditures related to the grant.

3. Selection Criteria

All eligible projects must focus upon renewable energy and/or energy efficiency through electrification or transport activities. The project will help *accelerate the transition to energy systems that are ecologically efficient, sustainable, and socially equitable. The project will integrate the thematic areas of energy, biodiversity & ecosystem services to enhance livelihoods across various dimensions: Food | Water | Clean Air | Shelter | Medicine | Recreation | Inspiration –*

Enterprise proposals will be reviewed against IUCN's [Private Sector Risk Assessment Matrix](#) and all proposals will be cleared through the [Environment & Social Management System Manual](#). IUCN has established a Technical Advisory Team to review and evaluate the proposals to ensure that they are in line with the criteria laid out in the aforementioned guidelines, criteria, and Due Diligence Assessment Form provided below.

Completed submissions are due by 1 June, 2017

by email: SmallGrantsOceania@iucn.org

by mail to: **5 Ma'afu Street, Private Mail Bag, Suva, Fiji**

The applicant must submit one (1) copy of the following REQUIRED documents:

- a. One form of identification such as a current Business Registration Certificate, Company Incorporation Certificate, or other documentation validating the legal status of the organization applying (if applicable)
- b. Financial Reports for the previous year if pre-existing, or account statements if a new organization (if applicable)
- c. A basic Business Plan or Concept Note detailing structure, budget, and members
- d. All project applicant information requested in the form below
- e. **Fully completed** Sub-recipient Due Diligence Assessment form (template as **Annex 1**, available below)



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Applicant Information

Organizational/Community Name _____
 Organizational/Community Office Bearer Title _____
 Surname _____ Given Names _____
 Date of Birth (DD/MM/YYYY) _____ Gender: Male | Female

Contact Details

Mobile _____ Home _____
 Work _____ Fax _____
 Email _____ Other _____

Mailing Address

Street _____ City/Town _____
 District _____ Province _____
 Country _____

Section 4 - Submission Details

In fewer than ten words, describe the concept for your enterprise/community development project:

Please summarize a selection of key expenditures/costs to which grant funding would be allocated (if prepared and available, please attach a detailed itemized budget as supporting documentation):

Item Name	Item Description	Unit Cost (USD)	Quantity (#)	Total Cost (USD)
Subtotal				

How did you find out about the Small Grants Programme?

(please specify) _____

I declare the information included in this submission and associated documents supplied for consideration represent an accurate reflection of intended development in association with the IUCN Energy, Ecosystems & Sustainable Livelihoods (EESLI) Small Grants Programme. I declare I am authorised to make this application and I have read and accept the terms and conditions listed in the guidelines. In connection with this claim, I authorise IUCN to make any enquiries in accordance with standard published IUCN procedures.

I accept the terms and conditions mentioned above.

Signature

Date



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Annex 1

SUB-RECIPIENT DUE DILIGENCE ASSESSMENT FORM

Grant Applicant Name: (APPLICANT to provide)

IUCN Project No.: (IUCN to provide)

IUCN Project Name: (IUCN to provide)

IUCN Project Donor: (IUCN to provide)

Country: (APPLICANT to provide)

Name of Grant Activity: (APPLICANT to provide)

Grant Amount Requested: (APPLICANT to provide)

Est. time taken by applicant to complete form (Hrs):	
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Sub-Recipient Due Diligence Assessment Form

Please complete all questions contained within this due diligence assessment form. This form is an integral part of your organizations' application for funding from IUCN and will supplement other information provided to assess your organization's application. All information submitted will be treated confidentially and will not be disclosed to any third parties unless required by law.

1. ORGANIZATION INFORMATION

**IUCN
Internal
Use Only**

a. Official name of organization or community

b. Type of organization:

Please tick most appropriate option in each column below:

- | | |
|--|---|
| i. <input type="checkbox"/> For profit | i. <input type="checkbox"/> Incorporated company |
| ii. <input type="checkbox"/> Not-for-profit / NGO | ii. <input type="checkbox"/> Limited liability company |
| iii. <input type="checkbox"/> Government agency
<i>(please proceed to 2(a))</i> | iii. <input type="checkbox"/> Sole proprietary company |
| | iv. <input type="checkbox"/> Partnership |
| | v. <input type="checkbox"/> Registered charity |
| | vi. <input type="checkbox"/> Community Network |
| | vii. <input type="checkbox"/> Other <i>(please specify below)</i> |

c. Tax exemption:

Is the organization tax-exempt?

- Yes No

If yes, please provide a copy of the organization's tax exemption certificate.

d. Founding documents:

Does the organization have Articles of Incorporation, Constitution, or other similar founding documents?

- Yes No

If yes, please provide a copy of the organization's registration document. If no, please provide details to explain below:

e. Ownership details (applicable to "For Profit" organizations only). Please indicate name of owners and percentage (%) ownership below:



f. Registration details:

Is the organization registered with the appropriate government agency in country?

Yes

No

Not applicable
(Govt agency only)

If yes, please provide a copy of the organization's registration document. If no, please provide details to explain below:

g. If the organization has a website, please list web address below

2. GOVERNANCE

a. Governing Body:

Please indicate whether the organization is governed by:

Board of Directors

Executive Committee

Other
(please specify below)

No governing body

Please provide the following information regarding all current members of your organization's Governing Body on a separate page :

- Name
- Position
- Length of service
- Contact details – address, phone, email

b. How frequently does your Governing Body hold formal meetings?

Never

Quarterly

Monthly

Semi-annually or annually

c. Do sub-committees exist?

Yes

No

If yes, please list sub-committees that exist below.

d. Are minutes of formal Governing Body meetings documented?

Yes

No



e. Is the Governing Body involved in financial oversight of the organization?

- Yes No

f. Does the organization have an Advisory Board?

- Yes No

g. Office Bearers::

Does the organization have formally appointed office bearers?

- Yes No

h. Does the organization have documented policies on the following?

i. Code of conduct / ethics

- Yes No

ii. Conflict of interest

- Yes No

iii. Fraud, corruption, & bribery

- Yes No

If yes, please provide a copy of these policies, and also indicate below how often staff are trained and/or formally made aware of these organizational policies:

- Never At least once every 2 years
 At least once a year Other

3. LEGAL

a. Are there any legal claims pending for/against the organization?

- Yes No

If yes, please provide details on a separate page re :

- Name of claimant / defendant
- Relation of claimant / defendant to organization
- Claimed damages
- Brief history of legal claim
- Current status of claim

b. Regulatory filings:

i. Is the organization currently fully compliant and up-to-date with all government tax, registration, and other regulatory filings?

- Yes No
 Not applicable



If no, please provide details below:

ii. Has the organization been late or failed to submit any regulatory filings in the past 3 years?

- Yes No
 Not applicable

If yes, please provide details below:

4. FINANCIAL

a. Audit:

Does the organization have an annual audit performed by an independent external auditor?

- Yes No

If yes, please provide a copy of the latest auditor's annual report.

b. Financial Statements:

i. How frequently does the organization prepare organization-wide internal financial reports for management?

- Never Quarterly
 Weekly Semi-annually
 Monthly Annually

ii. How frequently are financial statements presented to the Board?

- Never Quarterly
 Monthly Semi-annually or annually
 Not applicable

iii. Please provide a copy of the organization's latest annual financial report.

c. Financial principles, policies, and systems:

i. Please indicate what basis of accounting is used by the organization:

- Cash accounting Accrual accounting

ii. Please specify whether the organization's annual financial statements are prepared in accordance with:

- International accounting standards
 National accounting standards
 Other accounting standards
 No accounting standards



iii. Does the organization use a computerized accounting software system?

- Yes No

If yes, please provide the name of the accounting software, and indicate how many years it has been in use.

iv. Does the organization's accounting system separately record and track income and expenditure for each individual project, grant, or contract?

- Yes No

v. Does the organization have written policies on each of the following? If so, please provide a copy of each:

Financial policies & procedures

- Yes No

Procurement policy

- Yes No

Records retention policy

- Yes No

Delegation of authority policy

- Yes No

d. Grant funding:

i. Has the organization received grant funding before?

- Yes No

ii. What percentage of the organization's annual income is provided by grant funding?

- 0 – 50% 75 – 95%
 50 – 75% >95%

iii. Please list the grant amount, donor name & donor contact information (email address, phone no, and contact person) for the 3 most recent grants received by the organization:

iv. Does the organization use restricted grant funds for purposes other than for which they have been provided, including using grant funds to temporarily meet other financial needs within the organization?

- Yes No



If yes, please provide details below.

v. Has the organization ever been in default regarding grant management, or had a grant terminated by a donor for any reason?

Yes No

If yes, please provide details below

e. Debt

i. Does the organization have any debt relating to:

Bank loans

Yes No

Bank overdraft

Yes No

Other debt

Yes No

ii. Has the organization defaulted on any debt repayments in the past 3 years?

Yes No

If yes, please provide details below:

iii. Please provide details of any new or additional debt the organization plans to take during the proposed IUCN grant period.

iv. Has the organization ever filed for bankruptcy, relief from creditors, or declared any other form of financial insolvency?

Yes No

If yes, please provide details below:

f. Insurances

i. Please list all types of insurance policy coverage the organization has below.



g. Bank accounts:

i. Does the organization have any bank accounts held in the name of individuals (instead of the name of the organization)?

- Yes No

If yes, please provide details below:

ii. Are 2 authorized bank signatories required on all payments above a certain value as determined by organizational policy?

- Yes No

If yes, please provide details below:

5. MANAGEMENT and PERSONNEL

a. Executive management:

Please provide the following details on a separate page for the organization's Chief Executive Officer (CEO), Chief Operating Officer (COO), and Chief Financial Officer (CFO), or their respective equivalents.

- Name
- Qualifications
- Years of experience in respective field
- Contact details (address, phone, email)

b. Key personnel:

Please provide the following details on a separate page for the key personnel who will be responsible for successful delivery of the IUCN grant project.

- Name
- Job title
- Qualifications
- Years of experience in respective field

c. Financial personnel:

Are the organization's financial transactions recorded into the company's financial system and overseen by :

- Qualified full-time finance personnel Non-finance personnel
 Qualified part-time finance personnel Other

d. Please indicate the total number of full-time staff employed by the organization.

- 0 11 - 20



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- 1 - 5
 6 - 10

- 21 - 50
 50+

e. Personnel time management recordkeeping:

- i. Does the organization have a staff timesheet recordkeeping system?

- Yes No

If yes, please provide a copy of your organization's timesheet form.

6. RELATIONSHIPS and CONFLICTS OF INTEREST

a. Is the organization a member of IUCN?

- Yes No

b. Has the organization previously worked with IUCN?

- Yes No

If yes, please provide details below:

c. Please list any significant grants, contracts, or MoU's the organization currently has with other organizations.

d. Does the organization or any of its owners, directors, officers, management or their family members have any business or personal association, interest, or financial relationship with IUCN or any of its officers or management?

- Yes No

If yes, please provide details below:

e. Has the organization or any of its directors, officers, or management been directly involved in the IUCN selection process regarding the grant the organization is hereby applying for?

- Yes No

If yes, please provide details below:



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Checklist - Additional Documentation Requested

To assist in ensuring your due diligence submission is complete, the following checklist of additional documents that you may be required to provide is shown below for your benefit. Please check those boxes that apply regarding additional documents that will be submitted to accompany your completed Due Diligence Assessment Form.

- | | | |
|--------------------------|-----------|--|
| <input type="checkbox"/> | 1(c) | Tax exemption certificate |
| <input type="checkbox"/> | 1(d) | Articles of Incorporation, Constitution, etc. |
| <input type="checkbox"/> | 1(f) | Organization in-country registration certificate |
| <input type="checkbox"/> | 2(a) | Governing Body member information |
| <input type="checkbox"/> | 2(g) | Code of conduct policy |
| <input type="checkbox"/> | 2(g) | Conflict of interest policy |
| <input type="checkbox"/> | 2(g) | Fraud, corruption, bribery policy |
| <input type="checkbox"/> | 3(a) | Legal claims information |
| <input type="checkbox"/> | 4(a) | Auditors report |
| <input type="checkbox"/> | 4(b)(iii) | Annual financial statements |
| <input type="checkbox"/> | 4(c)(v) | Financial policies & procedures |
| <input type="checkbox"/> | 4(c)(v) | Procurement policy |
| <input type="checkbox"/> | 4(c)(v) | Record retention policy |
| <input type="checkbox"/> | 4(c)(v) | Delegation of authority policy |
| <input type="checkbox"/> | 5(a) | Executive management information |
| <input type="checkbox"/> | 5(b) | Key personnel information |
| <input type="checkbox"/> | 5(c) | Timesheet form (blank copy) |

CERTIFICATION STATEMENT:

"I the undersigned, hereby certify that I am authorized to represent the organization, and that all facts and information provided in this Due Diligence Assessment document are true and correct without omission, error, or mis-statement.

I understand and agree that should the information provided in this Due Diligence Assessment document subsequently change, IUCN shall be informed in writing of any such change.

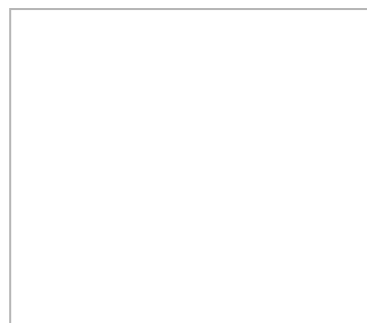
I further understand and accept that IUCN may at its sole discretion amend or terminate any grant or funding agreement awarded to the applicant if any information contained in this document is false or inaccurate."

(Signature)

Name:

Position:

Date:



(Organization Stamp)