

Research Grant Competition 2 Stage 1 - Project Concept Note

Invitation to Apply Overview









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Section 1: Introduction and Competition Information

Applications are invited to apply for grant funding from the Global Centre on Biodiversity for Climate (GCBC), a UK international research and development programme that seeks to support research on critical evidence gaps in how the conservation and sustainable use of biodiversity can deliver climate solutions and improve livelihoods.

GCBC runs Research Grant Competitions (RGCs). These competitions award funding to projects linked to a research theme. The research theme of this second RGC is: Unlocking Nature – *Driving innovation in how biodiversity can support climate resilience and sustainable livelihoods through practice and governance.* The GCBC expects to be able to award from a total fund of around £10 million for RGC2.

Under this theme, the RGC is focused on seven sub theme areas. They are:

Α	Land / water use - Innovative solutions for replacement land / water use practices and materials to achieve climate resilience and livelihood improvement.
В	Habitat / species conservation - Balancing the need to conserve habitats and wild species in the face of extractive industries (e.g., farming, mining, logging, hunting and fishing operations) – in practice and policy.
С	Sustainable production and consumption - Reversing unsustainable anthropogenic consumption and exploitation patterns through innovative ways to value biodiversity more wisely.
D	Biodiversity potential - Realising the potential from plant, fungi and wildlife resources to improve livelihoods in the face of climate change; and raise awareness of the value of biodiversity to incentivise conservation.
E	Incentives - How can and what types of incentives can contribute to the sustainable use of biodiversity for different income streams by local communities to improve climate resilience and livelihoods.
F	Knowledge and data - Filling knowledge and data gaps on land use and marine systems of LMICs and building capacity of scientists and institutions to engage with the science policy interface.
G	Ecosystem resilience - Identifying and addressing the interactions and cumulative impacts of existing stressors and climate change on natural ecosystems, and the implications of those for managing biodiversity in a way that builds resilience of ecosystems and local livelihoods to climate change.

The GCBC is funded by the UK's Department for Environment, Food and Rural Affairs (Defra) working in partnership with DAI Global as the Management Lead and the Royal Botanic Gardens, Kew as the Strategic Science Lead.









The second RGC is a two-stage process:

- Project Concept Note (CN) Stage 1: Applicants for this stage must submit a written concept note (Annex D04-Project Concept Note Form) outlining their proposed project. This will be assessed using criterion outlined in Annex D05-RGC2 CN Scoring & Selection Criteria. Successful applicants will be invited to proceed to a Project Proposal (PP) stage.
- 2. Full Project Proposal (PP) **Stage 2**: Applicants for this stage must submit a full project proposal, consisting of both commercial and narrative documents, along with responding to RGC compliance requirements (Section 6 provides an overview). Full details of this stage will be released (through an Invitation to Proposal pack) to successful applicants on completion of the CN stage.

This Invitation to Apply (ITA) pack relates to Stage 1 (Project Concept Note, CN) of the Competition only. Stage 2 (Full Project Proposal, PP) is referenced throughout the document to ensure that applicants are aware of the full Competition process.

The headline information regarding the RGC is as follows:

All applicants must submit projects that align with the GCBC Research Strategy (Annex D03) and the RGC2 Theme Paper (Annex D02)

The GCBC will accept applications for projects **between £100k and £1m** in four pools (£100k-250k; £250k-500k; £500k-750k; £750k-£1M). Applicants must include an indicative budget they wish to receive for their project in the Concept Note submission.

The GCBC will accept applications for projects of between 12 and 36 months in length.

The closing date for receipt of applications for Stage 1 is 17:00hrs GMT on 17th March 2024.









Competition Timetable

Step	Activity Title	Date (and time)			
Stage	Stage 1 – Project Concept Note (CN)				
1	Applicant Engagement Webinars	22 nd & 29 th Jan; 5 th and 21 st February			
2	Application window opens (for a period of 6 weeks)	5 th February			
3	Deadline for asking clarification questions	19 th February			
4	Deadline for GCBC response to clarification questions	26 th February			
5	Application window closes	17:00 GMT 17 th March			
6	Assessments on all applicants (see Annex D05)	18 th March – 26 th April			
7	Stage 1 (CN) notifications & feedback sent to applicants/applications. Successful applicants are invited to partake in Stage 2(PP).	29 th April – 30 th April			
Stage	Stage 2 – Full Project Proposal (PP)				
8	Application window opens (for a period of 8 weeks)	6 th May – 30 th June			
9	Deadline for asking clarification questions	20th May			
10	Deadline for GCBC response to clarification questions	27 th May			
11	Assessments on all applicants	1 st July – 16 th August			
12	Inform successful applicants with an Offer Letter	23 rd August			
13	Inform unsuccessful applicants	w/c 26 th August			
14	Due Diligence on successful applicants	End of August – End of September			
15	Grant Award Letters and Grant Funding Agreements drafted and shared	w/c 30 th September			
16	Final date for Grant Funding Agreements to be signed	no later than end of October 2024			

All applications and supporting documentation must be submitted via the GCBC e-platform application portal. Please register to apply here (https://gcbc.metricsled.com). Guidance is provided in Annex D01-Application Guidance Note, and D06-Application Portal Instructions.









Applicants **must** read **all** the supporting documents in the ITA Pack before submitting their application. All documents are available on the GCBC eplatform.

By applying for this RGC, Applicants are confirming that they are willing to submit a full proposal at PP stage.

Furthermore, Applicants agree to the acceptance of the Grant Funding Agreement (GFA) Terms and Conditions (see Annex D10- Model Grant Agreement Template¹) if their application is successful after the PP stage. Applicants will be expected to confirm their agreement on the GCBC eplatform as part of their Concept Note (CN) submission.

Section 2: GCBC Programme Information

Overview: A brief introduction to the GCBC

The GCBC was announced at the 26th UN Climate Change Conference ("COP26") and has been established with £40m of International Climate Finance from the UK's Official Development Assistance (ODA) budget.

The GCBC is establishing an international network of research institutions and experts to address critical evidence gaps in how the conservation and sustainable use of biodiversity can support climate resilience, while also or improving livelihoods. The GCBC will help to ensure future practice and decision-making for governance in this area is led by and grounded in robust scientific evidence. In doing so, the GCBC will support the achievement of the UN Sustainable Development Goals, the Paris Agreement, and the Convention on Biological Diversity (CBD)'s Kunming-Montreal Global Biodiversity Framework (KMGBF) targets.

The research delivered through the GCBC will:

• Improve resilience of poor communities to the impacts of climate change, by supporting economic opportunities to improve livelihoods,



¹ This template is subject to change







and reduce biodiversity loss through the sustainable conservation and use of biodiversity;

- Foster collaboration between experts and research disciplines to inform policy and unlock finance for biodiversity-based solutions to climate change and poverty;
- Be based on local need and incorporate strong engagement from Indigenous Peoples and Local Communities;
- Identify and disseminate policy-relevant good practice which can be scaled up and replicated; and
- Meet ODA eligibility of primary purpose to promote the economic development and welfare of developing countries.

The GCBC will fund research through a series of open International RGCs. Each competition will focus on a priority thematic research area or areas informed by the GCBC's Research Strategy (Annex D03). Projects eligible to apply must be implemented in Latin America and the Caribbean, Sub-Saharan Africa, South-East Asia and the Pacific, or Small Island Developing States. The GCBC anticipates launching further International RGCs annually. The first RGC was launched in February 2023.

A detailed theme paper for this RGC is provided in Annex D02. This provides Applicants with information to develop the focus of their CNs.

Introduction to Defra and the GCBC Hub

The <u>UK Department for Environment Food and Rural Affairs (Defra)</u> (the "Defra") supports the delivery of His Majesty's Government's ("HMG") international poverty reduction and sustainable development priorities including through the delivery of ODA-funded programmes.

17. In March 2023, Defra appointed DAI Global as the Management Lead and the Royal Botanic Gardens, Kew (RBG Kew) as the Strategic Science Lead (SSL). DAI and RBG Kew work together as "the GCBC Hub" with responsibility for delivering the aims of the GCBC through the following complementary roles:









18. **DAI Global UK** brings a global footprint, broad networks, and over 50 years' experience delivering complex, multi-country programmes that tackle the technical issues that the GCBC Hub seeks to address: sustainable use of biodiversity, climate change and poverty reduction through improved livelihoods. DAI's role is to provide an efficient, transparent, ODA-compliant Research Grant Competition (RGC) process. This includes the Design, Management and Administration of the RGCs, and the awarding of the GFAs for successful Grantees. DAI is also responsible for the disbursement of grant funds and financial management.

RGB Kew brings a global network of scientific and academic collaborators, that deliver science-based knowledge and solutions to protect and restore biodiversity, and use natural resources sustainably, including for new sources of food, medicine, fuel or materials.

RGB Kew's expertise contributes knowledge on fungi and plants at taxonomic, genetic, functional and ecosystem level, and at all spatial scales, RGB Kew's role, working with partner organisations with complementary and relevant expertise for the aims of the GCBC is to develop the GCBC Research Strategy (Annex D03) and other evidence products to support projects and for sharing on the GCBC International Network.

RGB Kew provides advice to the GCBC Hub on specific priority themes for the RGCs, conducts inter-disciplinary analysis in support of the research outputs from the Grantee projects to facilitate implementation of policy for the benefit of climate resilience, poverty reduction and biodiversity.

In addition to the GCBC Hub, Defra has convened an **Evidence Advisory Group** (EAG) to provide independent advice and scrutiny on the design, scope, and outputs of the GCBC. An **Independent Evaluator** (IE) will be appointed to evaluate the GCBC processes, performance, and impact. The structure of the GCBC is outlined in Figure 1 below:









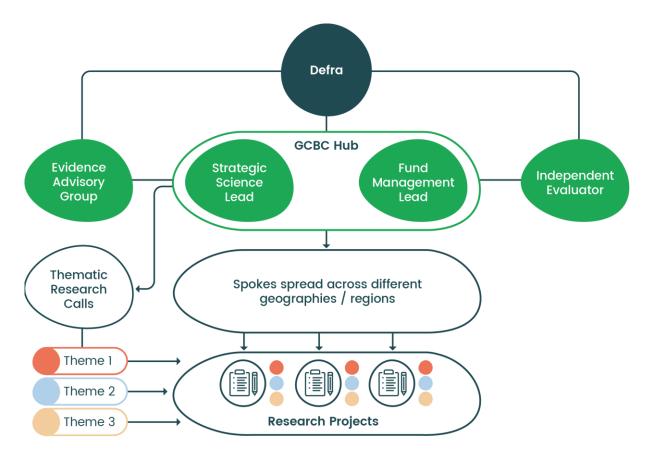


Figure 1: GCBC Organisation chart

Programme Theory of Change:

The GCBC has a programme level Theory of Change (ToC) (see below) explaining the process of change by outlining how the causal linkages in the programme will lead to development change, drawing on the proposed interventions to drive shorter-term, intermediate and longer-term outcomes. For each of the RGCs, a programme thematic level ToC, which contributes to the programme ToC, will be used to help applicants identify solutions to effectively address the causes of problems that hinder progress and guide decisions on which approach should be taken within projects to address the theme of the RGC (this is contained in the Theme Paper – Annex 3). If Applicants are successful in the Stage 1 (CN) of the RGC, Applicants will be expected to produce project-level ToCs and Logframes in line with the programme thematic ToC. Applicants should therefore be designing projects that address the overarching intended outputs, outcomes, and impact, with a view of building on this into their project proposals should they be successful at the Concept Note stage of the grant competition.









GCBC Programme Theory of Change

Activities

Run themed research grant competitions to develop portfolios of inter-disciplinary research projects, with a strong poverty reduction focus.

Support implementation of research projects with a focus on science, learning (including from local/indigenous communities) and impact.

Monitor, evaluate and learn from projects and themes to increase understanding of evidence gaps and priorities on linkages between biodiversity, climate, and poverty reduction.

Synthesise a new and widely accessible, high quality evidence base across themes and geographies.

Broaden access to evidence and knowledge developed across the programme through different communication channels/events, including for new, diverse and hard to reach audiences.

Develop a diverse and inclusive international network to share information and build capacity of research, policy and practice supporting the sustainable use of biodiversity for climate and livelihoods.

Outputs

New (or consolidation of existing) innovative and transformative **research**, **evidence and scalable solutions** on the conservation and sustainable use of biodiversity for climate resilient inclusive development and poverty reduction.

New or strengthened diverse and equitable inter - and transdisciplinary research networks and partnerships.

Research is actively disseminated to policymakers, investors, practitioners and communities through audience-appropriate knowledge products and channels.

Outcomes

System transformation through local community natural resource management is informed and enabled by the demonstration of the interconnectedness of biodiversity, climate and livelihoods.

Evidence uptake leads to widespread implementation of policies, practices and investment strategies that deliver inclusive climate resilient poverty reduction through conservation and sustainable use of biodiversity.

Research partners have **stronger capacity**, **capability**, **and networks** to identify, fund, implement and disseminate research (with or without GCBC funding).

The **Global Centre on Biodiversity for Climate** is an international research and development programme that funds research into natural solutions to climate change and poverty. It was announced at UNFCCC COP26 with £40m of UK Official Development Assistance funding. The GCBC's three targeted regions are Latin America and the Caribbean; sub-Saharan Africa; and South-East Asia and the Pacific (including Small Island Developing States).

Impact

Informed, effective, and inclusive climate resilient interventions and investments improve livelihoods and reduce poverty through the conservation and sustainable use of biodiversity.

This Theory of Change is designed to address the GCBC **problem statement**:

There is limited evidence on and understanding of how the conservation and sustainable use of biodiversity contributes to inclusive climate resilient development and poverty reduction. There are also limited processes, agency and coordination mechanisms to use this evidence to bring about the transformational change needed.



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- Relevant organisations and researchers in regions are willing to: form networks and partnerships; and apply for GCBC funding.
- •Policymakers, investors, practitioners, and communities are willing and able to: use an improved evidence base on the sustainable use of biodiversity; and change their approaches based on new research and evidence.
- External funding opportunities for biodiversity research continue to exist.
- Identified approaches to conservation & sustainable use of biodiversity can provide income opportunities that are sufficient to replace business as usual.
- Uptake of evidence (including interventions and investments) adopts a systems approach and follows GCBC delivery principles, notably gender equality and social inclusion (GESI).

Assumptions

In delivering the ambition of the GCBC ToC, projects should consider each of the six strategic science priorities, which are covered in 'D02 - RGC2 Theme Paper







Section 3: GCBC Research Grant Competition Two (February 2023)

Specification of Requirements (Overview):

Theme

Applicants should ensure that their project relates to both the theme and one (or more than one) of the 7 sub-themes.

The RGC2 Theme Paper is provided in Annex D02. This provides more detailed information regarding the context and focus of the theme and the subthemes (including indicative but not exclusive areas of research to stimulate innovative approaches to address the theme), along with the thematic ToC (see Section 2). When designing projects, applicants should refer to the information in this paper and also read the GCBC Research Strategy (Annex D03) for wider contextual information regarding the Strategic Aims of the GCBC.

Eligibility Criteria

Applicants must meet the following criteria to be eligible for assessment:

Grant Size:

- Grants must not exceed a total value of £1m, and be of a minimum value of £100k. We are looking for grants sizes that fit into one of the following 4 pools:
 - £100k 250k
 - £250k 500k
 - £500k 750k
 - £750k £1M
- Note: the value of any individual grant may not exceed 25% of the applicant's or Lead Consortia's Partner's average income/turnover for the past 3 years.









Research Period:

- The research period will run for up to a maximum of 36 months from no later than November 2024.
- Note: the start date is dependent on the signing of the GFA by the successful applicants.
- GCBC will consider project concept notes that range between 12-36 months.

• Geographic focus:

- Any proposed offer must be from, or include as a Partner in a consortium, an Organisation from an ODA-eligible country in our target geographic areas. A UK-based Partner or a presence in the UK is not essential.
- o GCBC will accept applications for projects with activities in ODA-eligible countries (<u>DAC List of ODA Recipients OECD</u> or <u>pdf</u>) in Latin America (including Central America), the Caribbean, Sub-Saharan Africa, and South-east Asia and the Pacific and Small Island Developing States. Further information on which countries are eligible under the GCBC RGC2 can be found in Annex D08 RGC2 List of Eligible Countries.
- Activities taking place in countries subject to UK sanctions are unlikely to receive funding. (Please note: Russian organisations are ineligible to be a Lead Applicant or Partner.)

• Delivery Partner / Organisation eligibility:

- Applications are encouraged from many different types of potential Delivery Partners, both local and international, including, but not limited to:
 - a) non-government organisations,
 - b) civil society organisations,
 - c) multilateral organisations,
 - d) social development organisations,
 - e) academic institutions,









- f) private sector partners.
- Funding can also be awarded to parastatal organisations if the proposed activities are not receiving funding from other governments. UN bodies are eligible under the same terms and conditions as other applicants.
- Applicants must not be under any debarment or exclusion due to professional or fiduciary malpractice.
- Any proposed activities must be eligible (primary purpose to promote the economic development and welfare of developing countries) for ODA funding.
- Any proposed offer from a consortium should be headed by a single Lead Delivery Partner. Prospective Lead Delivery Partners will lead and submit applications on behalf of all members of their consortium.
- Applications for project concept(s) must be:
 - led by an Organisation with offices in an ODA eligible country, or
 - led by an Organisation which forms part of a consortium with Organisations that have an office in an ODA eligible country or countries.
- The GCBC encourages applications from the Lead Delivery Partners/Organisations based in our target ODA-eligible country (Annex D08). New and equitable partnerships involving local project Partners are also encouraged.
- Private sector partners may be consortia members, but are ineligible to receive grant funds for profit, or act as consortia Lead Delivery Partners.
- o PhD Students are not eligible for funding under this grant competition.









Climate, Poverty and GESI:

The GCBC is entirely ODA funded, and therefore projects must promote the economic development and welfare of eligible countries as a primary objective. As this funding is also International Climate Finance it must additionally deliver climate resilience objectives.

Projects should look systematically at the relationship between biodiversity and poverty and climate change, with designs explicitly considering how planned activities relate to poverty or to the efforts to reduce poverty and deliver climate resilient interventions; with clearly identified beneficiaries and reflecting gender equity and social inclusion (GESI) considerations.

Section 4: Application Approach and Steps

Competition Timeframe

The RGC and award timeframe are outlined in Section 1 of this document. The timetable is subject to change. All Applicants will be informed of any changes/updates with appropriate notice. Notifications of any changes/updates will be published on the GCBC e-platform.

Application Process

Applications must be submitted on the GCBC E-Platform. Applicants are required to register using <u>this link</u> to apply for the RGC.

Applicants are required to complete the RGC2 Project Concept Note online, which is split into two forms; Part 1 & Part 2 (Annex D04, an offline copy). More detailed instructions of how to use the E-Platform are available in Annex D06-Application Portal Instructions.

The GCBC E-platform Helpdesk is an email address that is continuously monitored throughout the RGC. The GCBC E-platform helpdesk has two primary functions:

The helpdesk will respond to individual clarification requests regarding technical issues with the E-Platform within one working day (e.g., if your application documents fail to upload).









The helpdesk will allow potential applicants to ask questions regarding the RGC in a set time period (see RGC timetable in Section 1). The Management Lead will publish all clarifications (see RGC timetable in Section 1) for all Applicants to access via the E-platform. This will be in an anonymised format. There is a Q&A sheet that is provided on the E-Platform, which has relevant questions that applicants may require answers for.

The Helpdesk email is: infoqcbc@qcbc.org.uk

Applications must be successfully uploaded via the GCBC E-Platform on or before 16:59 GMT on 17th March to be eligible for assessment. Any application sent after this time will not be eligible for assessment.

Section 5: Qualifications for Stage 1 (CN)

Overview of organisational qualification envelope

At Stage 1 (CN), Applicants are required to fill out Section A (information about the applicant organisation) Section B (summary information about the project) and Section C (detailed information on the project) on the E-Platform, which will gather key organisational information.

Two declarations will be required via the E-Platform (offline Annex D09):

Declaration 1: The Lead Applicant, Consortium and Proposed Project can meet the CN eligibility criterion as stated in Section 3.

Declaration 2: The Lead Applicant can meet the requirements of eligibility in Full Project Proposal (PP) stage, which will include having the appropriate documents and procedures in place, and that they can sign the GFA terms and conditions (Annex D10 - Model Grant Agreement Template). This will form part of the Due Diligence process that DAI will commence after the assessment and selection of successful proposals.

Technical Envelope

The Lead Applicant must present how they would fulfil the RGC requirements through the submission of a project Concept Note on the E-Platform. An offline copy is available in Annex D04-Project Concept Note Form (CN).









The CN has three aspects/Sections:

- Section A: Information about your Organisation covers critical organisational information including registration details, registered address, Lead Organisation, key contact person.
- **Section B**: Summary information about the project, covers key project information such as the Project Name/Title; Alignment to the GCBC themes; the region/country of the project, the duration, and the expected overall cost.
- Section C: Detailed information about the project the only scored section covers detailed information regarding the project including a summary, methodology, risks and assumptions, context and problem definition, alignment to the GCBC RGC2 theme, research questions, project outputs and the Partners/key stakeholders.

Note: Applicants must fill out all Sections of the CN to be eligible.

Assessment & Selection Criteria for Stage 1 (CN)

The information regarding how Applications will be scored and selected is provided in 'Annex D05-RGC2 CN Scoring and Selection Criteria.

Assessment & Selection Process for Stage 1 (CN)

The Assessment and Selection process for the RGC2 Project Concept Notes (project CNs/Applications & Applicants), conducted within an estimated 7week period, is as follows:

- Soon after submission deadline passes, the Project Concept Note Forms undergo the eligibility sifting, and categorisation exercise. This includes:
 - o the general (communicated eligibility criteria), & a technical eligibility sift (against the GCBC objectives & theme of RGC2), and
 - a categorisation exercise, where CNs are tagged against one of 7 assessment pools, linked to the 7 RGC2 sub-themes to best match the expertise of assessors (in the next step) to those relevant characteristics of the CNs in the pools.









- The full Technical Assessment of the eligible CNs (information submitted in Section C of the CN form), within each pool/cluster identified in the previous step, is then conducted by RGC2 Assessors, with relevant technical expertise and experience. The RGC2 Assessors discuss comments and agree the strongest applications to contribute to a portfolio of projects for the specific sub-themes and recommend those for inviting to Full Project Proposal Stage 2.
- CN Recommendation Report the outcome of the above exercise leads to the compilation of the recommendation report for Defra's consideration, and final decision on which CN's are considered for further progression to the Full Project Proposal 'Stage 2'.
- The last step is the formal CN outcome notification (including appropriate feedback) to all Applications/CNs and Applicants.

Full Project Proposal (Stage 2) eligibility requirements

During the Project Concept Note (CN, Stage 1) process, Applicants will need to declare their ability to meet the eligibility requirements (see Section 3 of this document) set out for the Full Project Proposal (PP, Stage 2) process². The PP eligibility requirements will include:

Safeguarding	- A safeguarding policy	
	- Child Protection Policy	
	- Modern Slavery Policy	
	 An updated register of safeguarding issues 	
Ethical	- Conflict of interest policy	
Behaviour	- Code of conduct (or the ability to meet the DAI	
	code of conduct)	
	 Whistleblowing policy and procedures 	
	 Fraud, bribery and corruption policy and 	
	procedures	

² The GCBC Hub wishes to support Applicants to meet the eligibility requirements during the PP stage. It will be open to accepting applicants to PP stage if there is a planned approach to meeting the eligibility requirements if the applicant is successful through the full application process









Financial	 Financial Management Policy and Procedures
Management	- Procurement Policy
Governance	 Proof of tax compliance
	 Organisational Risk Management Framework
	 Policy for dealing with conflict or sanctions in high- risk environment
	- Organisational escalation points/organigram
	 Insurance coverage (UK equivalent to Employer's
	Liability; Public Liability Insurance; and Professional Indemnity Insurance)
	 Quality Assurance or Quality Management Policies
	and/or systems
	- Registration to IATI ³ (or willingness to obtain
	registration/report to IATI)
Environmental	- Net zero policy or equivalent environmental policy
Policies	
Data	- Policy to safeguard IT and mobile communication
Management	systems
	 Policy on the management of data and data
	security
Human	 HR and Recruitment policy (including ability to
Resources	undertake vetting and anti-terror checks on staff)
	 Procedures to conduct Partner due diligence and
	vetting
Duty of Care	- Procedures/Systems for management of
	emergencies involving staff and third parties
	- Appropriate travel policies

 $^{^3}$ The International Aid Transparency Initiative (IATI) is the global campaign to create transparency in the records of how aid money is spent. More information available <u>here</u>









Section 6: Information regarding PP stage

Successful Applicants after the Stage 1 (Project Concept Note, CN) of the RGC process will be invited to partake in Stage 2 (i.e. submit a Full Project Proposal, PP), and promptly supplied with an Invitation To Proposal (ITA) documentation pack. Unsuccessful applicants after the CN stage will be provided with automated feedback through the E-Platform.

The ITP pack will only be shared with the invitees after the completion of the CN stage.

The Stage 2 (Full Project Proposal) will consist of the following approach:

- Applicants will be invited to write a full project technical and commercial proposal, outlining in more detail their proposed project.
- In support of their proposed project, Applicants will develop and submit a full budget, showing the fee rates of proposed experts and full project expenses.
- Applicants will draft and submit a project-level ToC and Logframe, building on the programme-level thematic Theory of Change and proposed indicators.
- Applicants will complete DAI's Management Compliance Assessment Tool (MCAT), which will be used during the assessment process to determine the eligibility of the applicant to meet the operational and compliance requirements of the RGC.
- The GCBC Hub will host several capacity building workshops during the PP stage to help Applicants understand what is required to develop and deliver the best possible proposals for assessment. Details of these workshops will follow the release of the ITP pack.
- Once the Applications are submitted, the proposals will undergo a full technical and commercial assessment. The details of the assessment will be shared in the ITP pack.
- Successful Applicants after the Stage 2 (PP), will be offered an Outcome Letter, stating
 the willingness of the GCBC to proceed with their application. Unsuccessful applicants
 at this point will be offered feedback on their proposal and will be removed from the
 process.
- Successful Applicants will then go through a period of Due Diligence (see Box 1).
- After the full due diligence process has concluded, the Hub will generate reports to be shared with Defra for further consideration and final decision.
- Once Defra have communicated their decision to the Hub, applicants that have been successful will receive Grant Offer Letter and progressed to the Grant Finding Agreement signing stage, where there will be a short clarifications process to iron out any T&Cs before, applicants sign these documents, which is essential to the offer and acceptance process and therefore for the awardees to receive grant funding.
- Once the Grant Award Letter and GFA have been signed, the project will begin.











DAI's Grantee Due Diligence process

DAI's Grantee Due Diligence (DD) approach uses four simple steps to analyse the strengths and weaknesses of a grantee's capacity and processes, enabling DAI to support the grantee to address gaps, and manage and mitigate risks:

Step 1 – Grant Capacity Assessment Tool (GCAT) Review: The GCAT is initially filled out by the Grantee, with support from DAI's Due Diligence team. The aim of the GCAT is to provide the Due Diligence team with information regarding the Grantee's policies, procedures and approaches to risk management and mitigation, and areas to strengthen to manage ODA funds. The tool covers: Governance, Financial Management; Human Resources, Ethics & Safeguarding; Delivery; Environmental Issues; and Terrorism and Security. The Due Diligence team will review the GCAT and establish questions for the post-clarification meeting.

Step 2 – Post DD Clarification Meeting: This detailed meeting is designed to ask further questions and clarify any information provided by the Grantee through the GCAT. These questions aim to form a wider picture of the Grantee's risk management approach, as well as anything specific that stood out on the GCAT. Notes are taken during the meeting.

Step 3 – Due Diligence Assessment and Analysis of Findings: The DAI project team will review and assess the full information (GCAT and meeting notes) and fill out a DD form for each grantee. The form provides a risk rating, as well as a summary of proposed next steps. The form is completed and presented to the Defra for a final decision to proceed or not.

Step 4 – Post-award conditions: Any DD next steps form part of the Grantees Award Letter and are monitored by the Fund Management Team during Inception.

Box 1: DAI Due Diligence process









Section 7: Wider Funding Landscapes

Defra is working together with other UK government Departments to enable greater coordination and coherence across research programmes that aim to tackle the climate and biodiversity crises to benefit people in the Global South. Programmes are designed to be complementary in scope and opportunities identified to add value and maximise collective impact through post-award management.

<u>UK Research and Innovation (UKRI)</u> have been working with the Foreign, Commonwealth and Development Office (FCDO), the Adaptation Research Alliance (ARA) and key actors across sub-Saharan Africa (SSA) to scope a new transdisciplinary research programme which aims to enhance understanding of the **scalability and contextualisation** of Nature-based Solutions (NbS) in SSA. The programme aims to address a lack of knowledge about the suitability and feasibility of NbS in different sub-Saharan African contexts and at different scales, and their potential impacts on local communities and ecosystems. The goal is to better understand how NbS can increase resilience to climate-associated risks and be mainstreamed into transformative agendas towards more equitable and sustainable development. The programme particularly seeks to address issues of equity and temporal sustainability within NbS, through considering gender equity and social inclusion (GESI), knowledge mobilisation and the integration of indigenous peoples and local communities (IPLC) in NbS design, planning and implementation.

Climate Adaptation and Resilience (CLARE) is a partnership between the FCDO and the International Development Research Centre (IDRC), Canada. The £96M programme aims to accelerate the delivery of new and improved knowledge, data and tools focused on tacking real-world natural hazard, climate change adaptation and resilience problems facing the poor and vulnerable across Africa and Asia-Pacific. The key research areas of the programme are around understanding climate change, informing early risk-action systems, and supporting development in a changing climate to be resilient. CLARE launched the first call for concept notes in 2022: https://idrc.ca/en/news/clare-launches-call-concept-notes

Reversing Environmental Degradation in Africa and Asia (REDAA) is a £35M development programme catalysing research, innovation and action









across sub-Saharan Africa and South and Southeast Asia, through a series of competitive grant calls. It is funded by the FCDO and implemented by the International Institute for Environment and Development. Grants will fund work that is interdisciplinary, often locally led and focused on **solutions for ecosystem restoration and wildlife protection**, **enabling people and nature to thrive together in times of climate**, **resource and fiscal insecurity**. REDAA is launching its first research call in June 2023.

Section 8: Applicant Guidance Annexes for Stage One

Annex	Document	
D01	Application Guidance Note	
D02	RGC2 Theme Paper	
D03	GCBC Research Strategy	
D04	Project Concept Note Form (offline copy)	
D05	RGC2 CN Scoring & Selection Criteria	
D06	Application Portal Instructions	
D07	GCBC Privacy Policy	
D08	RGC2 List of Eligible Countries	
D09	Agreement of Application Submission (offline copy)	
D10	Model Grant Funding Agreement (GFA)	

