



**MAINSTREAMING BIODIVERSITY
CONSERVATION AND SUSTAINABLE
MANAGEMENT IN PRIORITY
SOCIO-ECOLOGICAL PRODUCTION
LANDSCAPES AND SEASCAPES**

**OPERATIONS
MANUAL**

**Version Date: November 6, 2018
Tokyo, Japan**

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REVISION SHEET

Date	Revision Description
2015-11-13	Updated version of GEF Agency Procurement Policy added
2016-05-30	Budget Approval Process added
2017-04-10	Institutional Arrangement Structure updated; Executing Agency (EA) Description updated; Executive Team (ET) Description updated; Operational Focal Points (OFPs) updated; Coordination with OFPs updated; Schedule of Executive Unit (EU) and Working Unit (WU) meetings added; EA's Grievance Mechanism and Grievance Reporting form added; Project Subgrant Compliance to Safeguards updated; Updated Project Safeguard Screening form and Environmental-and-Social-Management-Framework (ESMF) added; updated Programmatic Site Visit form and Notification Letter added; Independent External Mid-term Review updated.
2018-11-06	GEF Agency Procurement Policy updated; Programmatic Site Visit form updated; Financial Site Visit form added; Financial Questionnaire updated; Security Screening form updated.

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ABBREVIATIONS AND ACRONYMS

ANDES	<i>Asociación para La Naturaleza y el Desarrollo Sostenible (Association for Nature and Sustainable Development)</i>
CBD	<i>Convention on Biological Diversity</i>
CEPF	<i>Critical Ecosystem Protection Fund</i>
CI	<i>Conservation International</i>
COMDEKS	<i>Community Development and Knowledge Management for the Satoyama Initiative</i>
CSO	<i>Civil Society Organization</i>
EA	<i>Executing Agency</i>
ESMF	<i>Environmental-and-Social-Management-Framework</i>
ET	<i>Executive Team</i>
EU	<i>Executive Unit</i>
FPIC	<i>free, prior, informed consent</i>
GEF	<i>Global Environmental Facility</i>
IGES	<i>Institute for Global Environmental Strategies</i>
IPSI	<i>International Partnership for the Satoyama Initiative</i>
ISAP	<i>International Forum for Sustainable Asia and the Pacific</i>
IUCN	<i>International Union for the Conservation of Nature and Natural Resources/World Conservation Union</i>
M&E	<i>Monitoring and Evaluation</i>
MOEJ	<i>Ministry of the Environment - Japan</i>
MOU	<i>Memorandum of Understanding</i>
NGO	<i>Non-governmental Organization</i>
OFP	<i>Operational Focal Points</i>
POM	<i>Project Operational Manual</i>
PPG	<i>Project Preparation Grant</i>
SCBD	<i>Secretariat of the Convention on Biological Diversity</i>
SDM	<i>Satoyama Development Mechanism</i>
SEPLS	<i>Socio-ecological Production Landscapes and Seascapes</i>
SGP	<i>Small Grants Programme</i>
UNDP	<i>United Nations Development Programme</i>
UNU-IAS	<i>United Nations University Institute for the Advanced Study of Sustainability</i>
WU	<i>Working Unit</i>

INTRODUCTION

The objective of this Project Operational Manual (POM) is to guide all stakeholders for the effective implementation of the *GEF-Satoyama Project*. It provides a detailed description of procedures. The Project Operational Manual contains updated information compared to the GEF-Satoyama Prodoc submitted to the GEF on July 27, 2015. The policies and procedures outlined in the POM supersede those in the Prodoc.

This includes:

- Implementation
- Supervision and Management
- Procurement
- Safeguards
- Monitoring and Evaluation Creating coupons

This POM will be adopted by all the parties involved in the GEF-Satoyama Project including:

- Conservation International Japan (CI-Japan)
- Institute for Global Environmental Strategies (IGES)
- United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS)

PROJECT SUMMARY

Three main components were developed that emphasize: a) field-level demonstration of sustainable management of biodiversity and ecosystems services in selected priority SEPLS; b) knowledge generation and management for SEPLS and developing analytical and training content for a range of stakeholders; and c) capacity building and inter-sectoral collaboration for ensuring social and ecological values in priority SEPLS. These components are inter-related sets of activities that inform each other. The Project has chosen to focus field-level support for SEPLS in three regions (“Target Geographies”); namely, the Indo-Burma, Madagascar and the Indian Ocean Islands and Tropical Andes Biodiversity Hotspots.

- Component 1: supports field-based subgrant projects designed to improve the status of selected SEPLS in the Target Geographies. Subgrant projects will have a demonstration effect to promote and replicate lessons learned and best practice through the knowledge generation and management activities under Component 2, as well as in meetings and events planned under Component 3. The subgrant projects will be selected through a call-for-proposals.

- Component 2: Knowledge Generation supports the generation and synthesis of relevant knowledge about SEPLS globally. It involves compiling good practices and disseminating research findings for mainstreaming the conservation and sustainable use of biodiversity. It is both critical and urgent to document good practices, including traditional knowledge and practices by indigenous peoples, before they are lost. Knowledge products designed to serve a wide range of settings will increase and contribute to higher global awareness of SEPLS. Such knowledge products will be made available on platforms of various networks, initiatives and organizations.
- Component 3: Capacity-building workshops and trainings: is designed to raise awareness and build capacities of key stakeholders, as a key step in encouraging national-level action for mainstreaming the conservation and sustainable use of biodiversity in production landscapes and seascapes. For both efficiency and synergy purposes, the Project will hold meetings for stakeholders in conjunction with relevant international conferences, consultations, and workshops. The Project will offer trainings back-to-back with IPSI-6 in Cambodia and International Conference on Biocultural Landscapes in Peru on the use of Indicators of Resilience to subgrant project proponents under Component 1 and other interested participants to the conferences with which the trainings are offered.

PROJECT OBJECTIVES AND DESCRIPTION

While protecting pristine natural areas and other high conservation value areas continue to be important for conservation of biodiversity, global conservation of biodiversity will not be achieved without the sustainable management of areas in which people and nature interact. Production landscapes and seascapes refer to the space in which primary industry activities (agriculture, forestry and fisheries) take place in general. Among the production landscapes and seascapes, those that integrate the values of biodiversity and social aspects harmoniously with production activities, such that production activities support biodiversity and vice versa, are termed “socio-ecological production landscapes and seascapes” (SEPLS), the focus of this Project. Production landscapes and seascapes are important as buffers and provide vital connection between protected areas. They are also important for the conservation and sustainable use of biodiversity in their own right. This Project intends to address the barriers that SEPLS faces globally and to demonstrate how sustainability can be achieved in production landscapes.

Project Vision

Society in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

Project Objective

To mainstream conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes.

PROJECT STRUCTURE

The GEF-Satoyama Project has a governance structure consisting of: an Executing Agency, an Executive Team, a team of Advisors and Experts, and Implementing Partners. Their relationship is graphically presented in Figure 1.



Figure 1 Institutional Arrangements for Project Implementation.

PROJECT IMPLEMENTATION, MANAGEMENT, AND GOVERNANCE

Executing Agency

CI Japan is the Executing Agency (EA) of this Project. It is responsible for contracting of all subgrants and provides oversight for sub-grantees, including ensuring compliance with all CI-GEF technical, financial and operational policies; coordinate among implementing partners; and engage Operational Focal Points of relevant countries and other stakeholders effectively. The Managing Director of CI Japan will oversee and ensure effective execution of the Project. A Project Manager will handle day-to-day implementation of Project activities, including Project progress monitoring, work plan implementation, partner coordination and maintenance. In the interest of facilitating coordination with relevant existing networks and initiatives, CI Japan convenes the Executive Team as the decision-making and coordination body of the Project. It chairs the Executive Unit and represents the Executive Team. It serves as the secretariat of the Project and liaises with the CI-GEF Project Agency. Although the decisions may be taken collectively by the Executing Team, the ultimate responsibility of the Project execution resides in CI Japan.

Executive Team

The Executive Team (ET) comprises of the Executive Unit (EU) as its decision-making authority made up of the Managing Director, CI Japan (Chair), the Director of IGES, and the Director of UNU-IAS; and a Working Unit (WU), consisting of designated staff members of CI Japan (Chair), UNU-IAS and IGES.

The EU makes decisions regarding the Project planning and budget, directs the implementation of the Project. It approves the annual work plan and budget by the beginning of each Project year (Annex 1); criteria and guidelines for the selection the subgrantees (Annex 2, Annex 3); and the selection of the subgrant projects based on the call for proposals (Annex 4). It seeks advice from a set of advisors with experience and knowledge on Satoyama Initiative, and coordinates Project details with organizations that will be involved in actual implementation of the Project activities under each Component. The schedule of EU meetings is found in Annex 5.

The WU prepares the draft annual work plan for approval by the Executive Unit, as well as any other documents for approval by the EU. It is responsible for conducting any task directed by the EU and monitoring the implementation of the activities included in the annual work plan in conformity with the guidelines and procedures of the CI-GEF Project Agency.

Designates the person in charge of each Component or sub-Component. Component leads are: CI Japan (Component 1), IGES (Component 2) and UNU-IAS (Component 3). The schedule of WU meetings is found in Annex 5.

Members of the Executive Team are qualified for their involvement and expertise in Satoyama Initiative in particular and Socio-ecological Production Landscapes and Seascapes in general. UNU-IAS has been leading the Satoyama Initiative and serving as the Secretariat of the International Partnership for the Satoyama Initiative. IGES has been involved in the Satoyama Initiative on contract with UNU-IAS; conducting studies and producing publications on SEPLS; and administering a small-grant mechanism called Satoyama Development Mechanism (SDM) with UNU-IAS and the Ministry of the Environment of Japan. Members of the Executive Team implements part of the Project as well. IGES will be in charge of implementing majority of Component 2. UNU-IAS co-organizes workshops under Component 3 as the secretariat of the IPSI with other implementing partners.

Relevant CI Field Programs are involved when the Executing Agency or members of the Executive Team visit or conduct activities in the countries in which they operate.

Advisors, Experts and Implementing Partners

The Chair of the Executive Unit may seek the cooperation of experts in the relevant fields as advisors to the Executive Team, who shall participate in their personal capacity, to obtain inputs on critical issues.

The Ministry of the Environment of Japan (MOEJ) will serve as an advisor to the Project, as one of the founders of and has strong sense of ownership towards the Satoyama Initiative. It has been supporting the IPSI financially and substantively. Likewise, the GEF Secretariat will also serve as an advisor as an active member of the IPSI Steering Committee and its role in financing many related mainstreaming biodiversity projects worldwide. The CBD Secretariat will also serve as an advisor, and involved most directly with the co-organization of the global consolidation workshop in the final year. IPSI as the implementation engine of the Satoyama Initiative, is a pool of organizations involved in SEPLS, both providing inputs to the Project implementation and receiving benefits (or impacts) of Project outcomes. The IPSI, through its Steering Committee, is considered as one of the implementing partners. UNDP and Biodiversity International have been involved not only in the development and roll out of the Indicators of Resilience (Component 2), but also in on-the-ground activities and research on SEPLS. They are Advisors/experts to the Project and implementing partners. Critical Ecosystem Partnership Fund (CEPF) has been investing in civil society organizations in Biodiversity Hotspots (counting close to 2000 as of 2014). CEPF's investments include improving management of

production landscapes, and have expressed its interest in working synergistically with this Project. CEPF will advise the Executive Team on effective grant making and management, and support the Executive Team in calling for proposal and reviewing proposals. Relevant regional and national entities and individuals may be identified and invited to serve in one of these functions. The function and structure of the advisors, experts, and implementing partners will be further elaborated and agreed during the inception of the Project. The function and composition of these structures intend to be adaptable with the progress in Project implementation.

Operational Focal Points (OFPs)

OFPs of the key countries in the Target Geographies need to be informed of the development of this Project. Executing Agency will make its utmost effort to inform them on a regular basis by quarterly updates, direct visits on the occasions of site visits to the subgrant projects, and other means as necessary.

Project Agency's support

The representatives of the CI-GEF Project Agency are a Designated Project Manager and a Designated Senior Grants Manager. The CI-GEF Project Agency provides Project assurance, including supporting Project implementation by maintaining oversight of all technical and financial management aspects, and providing other assistance upon request of the Executing Agency. The CI-GEF Project Agency monitors the Project's implementation and achievement of the Project outputs, ensures the proper use of GEF funds, ensures implementation of fiduciary standards, and reviews and approves any changes in budgets or workplans. The CI-GEF Project Agency will arbitrate and ensure resolution of any execution conflicts.

COORDINATION WITH OFPS (by the subgrant project proponents)

The Project is in line with the key country strategies, including the NBSAPs and other strategies that promote mainstreaming biodiversity in wider landscapes and seascapes. The subgrant projects under the Project will ensure strong national and local stakeholder involvement based on country ownership and drivenness. The Executing Agency will ensure that the subgrant project proponents engage with the OFPs of their countries. The Executing Agency will facilitate this process as needed.

PROCUREMENT

CI-GEF Project Agency's procurement policy is included as Annex 6. This policy will be flowed down to subgrantees.

SAFEGUARDS

CI-GEF Project Agency conducted a safeguard screening of the Project based on the PIF on June 24, 2014. The initial assessment has been revised through discussions between the Project Agency and CI Japan. The most recent assessment has concluded as presented in Table 1.

Table 1. Safeguard Screening Results and Project Categorization

Policy/Best Practice	Triggered (Yes/No)	Justification
<i>Environmental and Social Impact Assessment Policy</i>	No	The Safeguard Screening Form submitted by the Executing Agency determines that this Project will not cause adverse environmental impacts.
<i>Protection of Natural Habitats Policy</i>	No	The Safeguard Screening Form submitted by the Executing Agency determines that this Project will not create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.).
<i>Involuntary Resettlement Policy</i>	TBD	Although it is expected that no involuntary resettlement will be part of this Project, it is possible that some Project activities impose restrictions to the access, use and control of natural resources on which people depend for their livelihoods, which is not identified in the Safeguard Screening Form at the PIF stage. Each subgrant project will undergo safeguard screening to make determination individually.
<i>Indigenous Peoples Policy</i>	TBD	The Safeguard Screening Form anticipates the engagement of indigenous peoples in this Project. However, these communities will not be identified until subgrant projects have been selected under Component 1. Each subgrant project will undergo safeguard screening to make determination individually.
<i>Pest Management Policy</i>	TBD	Although the Safeguard Screening Form does not identify that pest management activities will be part of this Project, it is possible that some SEPLS where the Project may be interested in investing, will require controlling pests. Each subgrant project will undergo safeguard screening to make determination individually.

Physical Cultural Resources Policy	TBD	Although it is expected that no physical and cultural resources will be negatively affected by this Project, it is possible that some Project sites have critical physical and cultural resources that the Executing Agency is not aware of at the PIF stage. Each subgrant project will undergo safeguard screening to make determination individually.
Stakeholder Engagement	Yes	A wide range of stakeholders will be part of this Project in different stages and components. Many of them can be readily identified during the PPG phase, however, others will be identified only at the Project site level, once priority SEPLS have been identified.
Gender mainstreaming	Yes	This Project will touch upon, at different stages and levels, issues related to gender equality and equity.

Project Safeguard Categorization

CI-GEF Project Agency concluded the overall Project category to be “Category C” as a result of the safeguard screening process (Table 2).

Table 2. Project Categorization

PROJECT CATEGORY ¹	Category A	Category B	Category C ²
			X
<i>Justification:</i> The review of this screening form and the PIF indicates that this Project will not cause or enable to cause any major environmental or social impacts.			

Safeguards Policies Recommendations

This review has determined that the Project’s activities will not cause or enable to cause significant negative environmental and social impacts. On the contrary, this Project is expected to generate benefits (improved livelihoods) for local people; and the measures recommended below should be enough to properly avoid, mitigate or compensate any negative impacts that might be generated by this Project.

Stakeholders’ engagement: to ensure that the Project meets CI-GEF Project Agency’s “Stakeholders’ Engagement Best Practice”, the Executing Agency will

¹ The Screening outcomes may result in a Project being designated as Category A (full or comprehensive Environmental and Social Impact Assessment [ESIA] required), Category B (limited ESIA required), or Category C (no ESIA required)

² Category C: a proposed Project is classified as Category C if it is likely to have minimal or no adverse environmental *impacts*. Beyond screening, no further ESIA action is required for a Category C Project.

develop and submit, within 30 days of the beginning of the PPG phase, a “Stakeholders’ Engagement Plan” for the Project Agency’s approval. This plan should cover the entire Project and both PPG and implementation phases. The Project Agency will oversee the implementation of this plan throughout the duration of the Project.

Gender mainstreaming issues: to ensure that the Project meets CI-GEF Project Agency’s “Gender Mainstreaming Policy #8”, the Executing Agency will develop, during of the PPG phase, a “Gender Mainstreaming Strategy and Action Plan” that will ensure the mainstreaming of gender issues throughout the Project. This plan should cover the entire Project implementation phase. The terms of reference will be provided by the CI-GEF Project Agency, who will approve and oversee the implementation of this Strategy and Action Plan throughout the duration of the Project.

Subgrant Projects under Component 1 will individually undergo full safeguard screening by the Project Agency, and additional safeguard measures may be identified case-by-case bases.

Compliance with Safeguard Recommendations

During the PPG phase the Stakeholder Engagement Plan and the Gender Mainstreaming Plan were developed.

Stakeholder engagement is an important feature of the Project covering site-based arrangements for SEPLS management, development of strategic and relevant knowledge products, bringing together stakeholders to foster mainstreaming biodiversity conservation in SEPLS and in working with a number of multi-stakeholder programs to promote SEPLS. A plan has been developed and outlines a variety of actions to be taken within the Project with goal of engaging of Project stakeholders, including affected groups, indigenous peoples and local CSOs, as early as possible in the implementation process and throughout Project duration, and to ensure that their views and concerns are made known and taken into account. The plan will also help the Project in implementing effective communication channels and working relationships. The plan identifies and characterizes key stakeholders in the Project, describes engagement activities undertaken during Project preparation, outlines methods and activities to engage the various major stakeholders for the duration of the Project, provides a mechanism to address any grievances that may arise and outlines how key engagement activities will be assessed (Grievance Mechanism and Grievance reporting form is found in Annex 7). The Project Manager (CI-Japan) will have overall responsibility for ensuring the implementation of the plan.

Project preparation has included a number of information sharing and consultation activities with various actors that have a key stake in the GEF-Satoyama Project.

Major stakeholders among a range of actors include: the Executive Team comprising CI-Japan, UNU-IAS and IGES; communities occurring in the Project sites funded under Component 1; IPSI Steering Committee comprising representatives from the IPSI membership; subgrantees funded under Component 1; CEPF Secretariat and grantees, implementing partner organizations (e.g., Association ANDES; Biodiversity International; Ministry of Environment, Cambodia; Secretariat of the Convention on Biological Diversity); ongoing Projects/programs in relevant field (e.g., UNDP COMDEKS Program; and CI programs in Target Geographies. Consultations during Project preparation have involved a number of these stakeholders. The Project recognizes that successful landscape or seascape management is seen as inherently engaging a range of stakeholders including among others local communities, civil society, local and national government, and the private sector. The forms and compositions of actors will vary site by site, but a key point is a need to collaborate for effective landscape/seascape management.

Engagement Methods and Activities

Component 1. An important feature to be demonstrated under this component will be multi-stakeholder engagement in SEPLS management in line with the three-fold approach of the Satoyama Initiative, and good practice in landscape/seascape management. The subgrant project proponents will be responsible to effectively engage their various stakeholders in line with guidelines given in CI's Environmental-and-Social-Management-Framework (ESMF) and this Plan, while implementing their activities. Communities as well as other players active in the Project sites will be informed and consulted by the subgrantees using the methods as they see appropriate, and engaged in active participatory SEPLS management as determined through participatory appraisals and planning. The Executive Team will assess subgrantees' plans for stakeholder engagement and determine the appropriate methods in the full-proposal development phase as necessary.

Component 2. Relevant gatherings of experts and stakeholders will be used to collect diverse views and information to help ensure that content and products are relevant to stakeholder contexts. Such gatherings will include, but not limited to, IPSI global and regional fora, side events at CBD meetings, and sessions at IUCN World Conservation Congresses. The Executive Team will also consult with IPSI Steering Committee as needed on issues of coordination and to maximize synergies with on-going and planned IPSI work plans. Other methods for soliciting input for the development of knowledge products will include direct requests to individuals, groups and organizations, as well as broader requests through websites, list-serves, etc. Efforts will be made to engage with and gather input from relevant on-going programs, especially UNDP COMDEKS and CEPF. The Project will also seek to engage CEPF grantees in the application of the Indicators of Resilience providing a larger testing ground for the toolkit.

Component 3. A number of workshops are planned to engage a wide range of stakeholders in discussion and to build key capacities for SEPLS management. These gathering will be opportunities to develop regional and global-level consensus and collaboration on thematic aspects of SEPLS management, while allowing flexibility based on different local situations. The Executive Team will work with implementing partners to ensure opportunities for participation in workshops and fora are made available to relevant stakeholders, including women and indigenous groups. Sessions with stakeholders will be carefully facilitated so that diverse perspectives are heard and fairly documented. Furthermore, these sessions will ensure a fair gender balance in participants and to the guidelines given in the Project's Gender Mainstreaming Strategy and Action Plan will be followed.

Monitoring and Evaluation

Indicators to assess stakeholder engagement have been integrated into the Project Results Framework. In order to ensure adaptive management in the Project, annual reviews of engagement successes and challenges will be carried out with adaptation of the engagement plan as needed. The Project's progress will be reported to the IPSI Steering Committee at its regular meetings. Updates will also be made available to the IPSI Member Assembly and Public Forum, as well as be on the IPSI website (<http://satoyama-initiative.org>). Project progress will also be shared directly with key stakeholders such as the Ministry of Environment Japan, and other government agencies in the Project sites as they are identified during the course of Project implementation.

Gender Mainstreaming

A plan has been developed and outlines specific actions to be taken within the Project to ensure that both men and women have the opportunity to equally participate in, and benefit from, the Project. Along with the stakeholder engagement plan, the plan is part of the Project's commitment to equitable stakeholder participation. The plan takes into account that Project activities cover a range of operational scales from communities to global agendas with components that fund field based implementation and broader knowledge management and capacity building. Given the broad scope of the Project in scale and target geographical areas, the plan seeks to be practical and meaningful in terms of both proposed measures and results. Key elements of the mainstreaming plan include the following:

Component 1. Expressions of Interest (EOIs) will require project proponents' commitment for gender mainstreaming and social inclusion issues. In their full proposals, selected organizations will need to present a gender mainstreaming plan that follows the ESMP guidelines. Evaluation committees for the EOIs and full proposals will include social development expertise to assess gender integration and social inclusion aspects.

Component 2. Knowledge products such as operational guidelines and policy briefs based on the analyses will highlight gender issues where relevant and their relationships to conservation outcomes, lessons learned and examples of good practice that contribute to improving gender equality. Gender dimensions have been integrated throughout the toolkit for Indicators of Resilience, and indicators included in the groups covering Biodiversity and Governance and Social Equity.

Component 3. Attention will be paid to understanding existing gender relations and the obstacles to women's active participation in training and workshops. Training and workshop design will address these obstacles by proposing content that takes into account both women's and men's interests and needs, and by adopting training and facilitation methods that enhance women's participation. Gender expertise will be contracted to assist in the design and delivery of gender sensitive training, and for the facilitation of workshops and meetings. With the dissemination of knowledge products, assessments will be conducted to identify the most appropriate methods of sharing information with men and women.

Project Execution Arrangements. To ensure a coordinated and informed approach to gender integration throughout the Project, social development expertise from existing staff of the executing partners or as contracted consultant/s will provide assistance and oversight in implementing, monitoring and evaluating the mainstreaming plan. Indicators to assess gender mainstreaming have been integrated into the Project Results Framework. In order to ensure adaptive management in the Project, annual reviews of gender mainstreaming successes and challenges will be carried out with adaptation of mainstreaming plan as needed.

Project Subgrant Compliance to Safeguards

The call for proposals under Component 1 informed potential applicants about the safeguard requirements. It described the screening process and the need to put in place safeguard measures as identified by the screening process. At the time of Expression of Interest, applicants were required to commit to follow the safeguards requirements. After the 10 Projects were selected for subgrants, the Project proponents were asked to complete the screening form for review by the Project Agency (Annex 8). The Executing Agency assisted in obtaining the needed information. Safeguard screening reports showed that Gender Mainstreaming, Accounts and Grievance Mechanism, Stakeholder Engagement safeguards were triggered for all 10 grantees; Indigenous Peoples and Involuntary Resettlement safeguards were triggered by seven grantees and four grantees respectively. Implementation of safeguards will be checked in the annual reports and during the annual programmatic site visits by the member(s) of the Executive Team (Annex 9 and Annex 10 for notification letter and worksheet respectively).

MONITORING AND EVALUATION WITH TECHNICAL & FINANCIAL REPORTING & PROCUREMENT PLAN

Project monitoring and evaluation will be conducted in accordance with established Conservation International and GEF procedures by the Project team and the CI-GEF Project Agency. The Project's M&E plan will be presented and finalized at the Project inception workshop, including a review of indicators, means of verification, and the full definition of Project staff M&E responsibilities.

Monitoring and Evaluation Roles and Responsibilities

The Project Management Unit on the ground will be responsible for initiating and organizing key monitoring and evaluation tasks. This includes the Project inception workshop and report, quarterly progress reporting, annual progress and implementation reporting, documentation of lessons learned, and support for and cooperation with the independent external evaluation exercises.

The Project Executing Agency is responsible for ensuring the monitoring and evaluation activities are carried out in a timely and comprehensive manner, and for initiating key monitoring and evaluation activities, such as the independent evaluation exercises.

Key Project executing partners are responsible for providing any and all required information and data necessary for timely and comprehensive Project reporting, including results and financial data, as necessary and appropriate.

The Project Steering Committee plays a key oversight role for the Project, with regular meetings to receive updates on Project implementation progress and approve annual workplans. The Project Steering Committee also provides continuous ad-hoc oversight and feedback on Project activities, responding to inquiries or requests for approval from the Project Management Unit or Executing Agency.

The CI-GEF Project Agency plays an overall assurance, backstopping, and oversight role with respect to monitoring and evaluation activities.

The CI Internal Audit function is responsible for contracting and oversight of the planned independent external evaluation exercises at the mid-point and end of the Project.

Monitoring and Evaluation Components and Activities

The Project M&E Plan should include the following components (see Table 3 for details):

- Inception workshop
Project inception workshop will be held within the first three months of Project start with the Project stakeholders. An overarching objective of the inception workshop is to assist the Project team in

understanding and taking ownership of the Project's objectives and outcomes. The inception workshop will be used to detail the roles, support services and complementary responsibilities of the CI-GEF Project Agency and the Executing Agency.

- Inception workshop Report
The Executing Agency should produce an inception report documenting all changes and decisions made during the inception workshop to the Project planned activities, budget, results framework, and any other key aspects of the Project. The inception report should be produced within one month of the inception workshop, as it will serve as a key input to the timely planning and execution of Project start-up and activities.
- Project Results Monitoring Plan (Objective, Outcomes, and Outputs)
A Project Results Monitoring Plan will be developed by the Project Agency, which will include objective, outcome and output indicators, metrics to be collected for each indicator, methodology for data collection and analysis, baseline information, location of data gathering, frequency of data collection, responsible parties, and indicative resources needed to complete the plan.

In addition to the objective, outcome, and output indicators, the Project Results Monitoring Plan table will also include all indicators identified in the Safeguard Plans prepared for the Project, thus they will be consistently and timely monitored.

The monitoring of these indicators throughout the life of the Project will be necessary to assess if the Project has successfully achieved its expected results.

In the case that all necessary baseline data has not been collected during the PPG phase, it will be collected and documented by the relevant Project partners within the first year of Project implementation.

- GEF Focal Area Tracking Tools
The relevant GEF Focal Area Tracking Tools will also be completed i) at CEO endorsement, ii) prior to mid-term review, and iii) at the time of the terminal evaluation.
- Project Steering Committee Meetings
The Executive Team will serve the role of Project Steering Committee (PSC). Meetings will be held annually, semi-annually, or quarterly, as appropriate. Meetings shall be held to review and approve Project annual budget and work plans, discuss implementation issues and identify solutions, and to increase coordination and communication between key Project partners. The

meetings held by the PSC will be monitored and results adequately reported.

- CI-GEF Project Agency Field Supervision Missions
The CI-GEF PA will conduct annual visits to the Project country and potentially to Project field sites based on the agreed schedule in the Project's Inception Report/Annual Work Plan to assess first hand Project progress. Oversight visits will most likely be conducted to coincide with the timing of PSC meetings. Other members of the PSC may also join field visits. A Field Visit Report will be prepared by the CI-GEF PA staff participating in the oversight mission, and will be circulated to the Project team and PSC members within one month of the visit.
- Quarterly Progress Reporting
The Executing Agency will submit quarterly progress reports to the CI-GEF Project Agency, including a budget follow-up and requests for disbursement to cover expected quarterly expenditures which includes that of the partners and subprojects. The internal process employed to approve the budget and quarterly reports and disbursements of the partners and subprojects is illustrated in Annex 11.
- Annual Project Implementation Report (PIR)
The Executing Agency will prepare an annual PIR to monitor progress made since Project start and in particular for the reporting period (July 1st to June 30th). The PIR will summarize the annual Project result and progress. A summary of the report will be shared with the Project Steering Committee.
- Project Completion Report
The Executing Agency will draft a final report at the end of the Project.
- Independent External Mid-term Review
Medium sized projects do not require mid-term reviews. As a result, the CI-GEF Project Agency is not requiring that the project complete a mid-term review.
- Independent Terminal Evaluation
An independent Terminal Evaluation will take place within six months after Project completion and will be undertaken in accordance with CI and GEF guidance. The terminal evaluation will focus on the delivery of the Project's results as initially planned (and as corrected after the mid-term evaluation, if any such correction took place). The Executing Agency in collaboration with

the PSC will provide a formal management answer to the findings and recommendations of the terminal evaluation.

- Lessons Learned and Knowledge Generation
Results from the Project will be disseminated within and beyond the Project intervention area through existing information sharing networks and forums. The Project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to Project implementation though lessons learned. The Project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future Projects. There will be a two-way flow of information between this Project and other Projects of a similar focus.

- Annual Project Audit
Annual Financial reports submitted by the executing Agency will be audited annually by external auditors appointed by the Executing Agency.

The Terms of References for the evaluations will be drafted by the CI-GEF PA in accordance with GEF requirements. The procurement and contracting for the independent evaluations will be handled by CI's General Counsel's Office. The funding for the evaluations will come from the Project budget, as indicated at Project approval.

Table 3. Project M&E Plan Summary

Type of M&E	Reporting Frequency	Responsible Parties	Budget (USD)
a. Inception workshop and Report	Within three months of signing of CI Grant Agreement for GEF Projects	<ul style="list-style-type: none"> ● Project Team ● Executing Agency ● CI-GEF PA 	Estimated personnel expenses: USD2,000 Co-financing by Executive Team members: -Travel: in-town (<USD200 total) -Venue: One of Executive Team member's office
b. Inception workshop Report	Within one month of inception workshop	<ul style="list-style-type: none"> ● Project Team ● CI-GEF PA 	Estimated personnel expenses: USD750/yr.

<p>c. Project Results Monitoring Plan (Objective, Outcomes and Outputs)</p>	<p>Annually (data on indicators will be gathered according to monitoring plan schedule shown on Error! Reference source not found.)</p>	<ul style="list-style-type: none"> • Project Team • CI-GEF PA 	<p>Estimated personnel expenses: USD2,000/yr</p> <p>Subgrant Project site visits: -Personnel: USD4,500/yr -Travel : USD43,000 total.</p>
<p>d. GEF Focal Area Tracking Tools</p>	<p>i) Project development phase; ii) prior to Project mid-term evaluation; and iii) Project completion</p>	<ul style="list-style-type: none"> • Project Team • Executing Agency • CI-GEF PA 	<p>Estimated personnel expenses: USD 0 additional (work under c. should cover this work)</p>
<p>e. Project Steering Committee Meetings</p>	<p>Annually</p>	<ul style="list-style-type: none"> • Project Team • Executing Agency • CI-GEF PA 	<p>(The Executive Team serves as the PSC) Estimated personnel expenses: USD2,000/yr Plus Executive Team members' co-financing.</p>
<p>f. CI-GEF Project Agency Field Supervision Missions</p>	<p>Approximately annual visits</p>	<ul style="list-style-type: none"> • CI-GEF PA 	<p>On CI-GEF PA's budget</p>
<p>g. Quarterly Progress Reporting</p>	<p>Quarterly</p>	<ul style="list-style-type: none"> • Project Team • Executing Agency 	<p>Estimated personnel expenses: USD1,200/yr</p>
<p>h. Annual Project Implementation Report (PIR)</p>	<p>Annually for year ending June 30</p>	<ul style="list-style-type: none"> • Project Team • Executing Agency • CI-GEF PA 	<p>Estimated personnel expenses: USD2,000/yr</p>
<p>i. Project Completion Report</p>	<p>Upon Project operational closure</p>	<ul style="list-style-type: none"> • Project Team • Executing Agency 	<p>Estimated personnel expenses: USD2,000</p>

GEF-Satoyama Project Operations Manual

j. Independent External Mid-term Review	Approximate mid-point of Project implementation period	<ul style="list-style-type: none"> • CI Evaluation Office Project Team • CI-GEF PA 	USD20,000 under PMC
k. Independent Terminal Evaluation	Evaluation field mission within three months prior to Project completion.	<ul style="list-style-type: none"> • CI Evaluation Office Project Team • CI-GEF PA 	USD23,000 under PMC
l. Lessons Learned and Knowledge Generation	At least annually	<ul style="list-style-type: none"> • Project Team Executing Agency • CI-GEF PA 	No additional expenses (To be part of e. and h.)
m. Annual Project Audit	Annually	<ul style="list-style-type: none"> • Executing Agency • CI-GEF PA 	USD4,200 annually for financial audit

SUBGRANTING

The GEF-Satoyama Project follows CI procedures for subgranting. (Annex 12). These will be applied.

REPORTING

Detailed quarterly monitoring and supervision mission will be conducted (Annex 13 and Annex 14)

Investment strategy/criteria

All subgrant projects will be aligned with the three-fold approach of the Satoyama Initiative, and will use, where appropriate, the Indicators for Resilience for monitoring and evaluation. There will be two selection cycles for the grants. The first cycle will be open for Indo-Burma Hotspot in September 2015. The second cycle, including Tropical Andes and Madagascar and Indian Ocean Islands will open a couple of months after the first in November 2015, and will be improved by the learning from the first. The grant size will range from USD 50,000 to USD 100,000 for the duration of up to three years. This range was chosen to be larger than existing funding mechanisms (SGP, SDM, small grants under CEPF) to encourage further trans-boundary (geographic, jurisdictional and sectoral) efforts. Synergy effects will be sought with SDM by having the SDM Secretariat in the Project's Executive Team and with CEPF by using its channel of communication in Target Geographies for the announcement of the call for proposal. Collectively, the subgrant projects will demonstrate strategies and improve conservation and livelihood outcomes in SEPLS in three globally important biodiversity areas. Additionally, the collective experience will help to significantly increase the knowledge base, contributing to global learning about SEPLS, and the development of analytical and training content needed to increase the recognition of SEPLS globally.

Key activities under this component include:

- Selection and development of nine subgrant projects (three in each of Target Geographies);
- Supporting and monitoring the subgrant projects to achieve conservation outcomes;
- Using the Indicators for Resilience for baseline and progress monitoring, where appropriate; and
- Communicate progress and achievements of the subgrant projects though online platform such as IPSI's.

Co-finance from subgrantee

Conservation International will secure co-financing from its field programs and subgrantees under the Component 1, and to attend relevant international conferences for the outreach of the Project. The Project will request all subgrantees to demonstrate at least 1:1 co-financing. The co-

financing will be considered as a level of commitment and ownership, as well as coordination with existing initiatives and sustainability of the Project's impact.

Templates & agreements

Please see Annex 15, Annex 16, and Annex 17.

Conflicts – CI Field not recipients

To avoid the conflicts of interests and to avoid the perception of the conflicts of interests, the Project will not give subgrants under Component 1 to CI field programs.

Risk assessments of subgrantee

CI is required by the US government to screen all grantees except government agencies of any country against several lists of organizations and individuals suspected of having links to terrorism. Details are provided in Annex 18 and Annex 19.

Safeguard screening for subprojects

Once selected, subgrant projects will undergo project screening and safeguard analysis by the CI-GEF Project Agency. This process will assess the level of risks and identify necessary safeguard measures.

Communications

The subgrant project proponents under Component 1 will be responsible to effectively engage their various stakeholders in line with guidelines given in CI's ESMF and this Plan, while implementing their activities.

Communities occurring in the project sites funded under Component 1 will be informed and consulted by the subgrantees, using the methods as they see appropriate, and engaged in active participatory SEPLS management as determined through participatory appraisals and planning.

Call for Proposals

The Executive Team will release the call for proposals in all three Target Geographies (Indo-Burma, Tropical Andes and Madagascar and Western Indian Ocean Islands Hotspots), and select projects to be funded under Component 1. After the selection of candidate grantees, the Team will work with them in developing full proposals. This process will include planning for stakeholder engagement at the site level. The proponents of the subgrant projects will implement their stakeholder engagement plans, including free, prior, informed consent (FPIC). The Executive Team will check the status in the annual reports and during the annual site visits.

To ensure fair access to information on the call for proposals under Component 1, the announcement needs to reach as many organizations potentially interested in applying as efficiently as possible. For this reason, the announcement of call for proposals will be delivered through global initiatives including CEPF and IPSI networks.

The selection criteria, consisting of Eligibility Criteria, Screening Criteria, and Prioritization Criteria, will be applied hierarchically to shortlist the candidates during the selection process (Figure 2). The Eligibility Criteria will specify the elements which absolutely must be satisfied by projects to receive funding under this grant. The Screening Criteria will allow the detailed rating of proposed subgrant project contents vis-à-vis the quality of impacts measurable and/or observable that is expected under this grant. Finally the Prioritization Criteria will allow for the determination of candidates that fit best within the requirements of the grant in terms of meeting the objectives of this component within the given time frame.

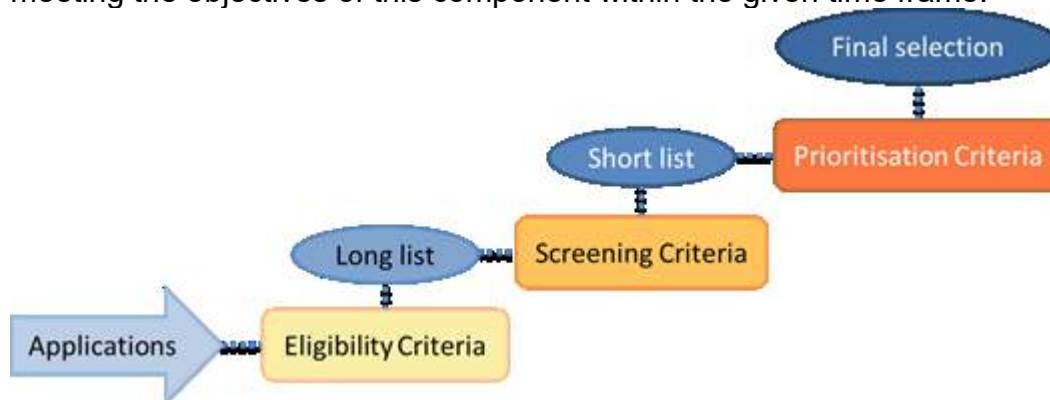


Figure 2 Project selection process.

Indirect Cost (IDC) Policy

Grantees can collect up to 15% of direct expenses as IDC if they have documented policies. If no documented policy exists, expenditure up to 15% of direct cost is allowed as IDC if receipts are provided.

DISCLOSURE AND VISIBILITY

Visibility: Whenever possible, the Executing Agency, Executive Team, Advisors and Experts, and Implementing Partners will promote Donor and GEF-Satoyama Project visibility on information materials.

Disclosure: The Executive Team through the Executing Agency may disclose to the public the information with respect to the GEF-Satoyama Project and its operations in accordance with the agreed upon Information Policy.

- These include but are not limited to: Copies of Work; Publications. Grantee agrees to provide CI at no cost with electronic copies of all Work developed under this Grant, as well as any article, report, media interview or other publication (jointly 'Publications') relating to activities covered under this Grant. Copies of Publications may be provided to CI in hard copy.
- Acknowledgment; GEF Visibility Grantee agrees to acknowledge the provision of GEF funding in all Publications, reports, publicity and other public communications arising from activities funded under this Agreement and to adhere to the GEF Communication and Visibility Policy (available at [http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08 Branding the GEF%20final 0.pdf](http://www.thegef.org/gef/sites/thegef.org/files/documents/C.40.08_Branding_the_GEF%20final_0.pdf)).
- Logos. The GEF logo shall be appropriately displayed on Project equipment and vehicles procured with Grant Funds as well as at Project sites and Project Publications in accordance with the GEF Communication and Visibility Policy. The CI logo shall be displayed in Project Publications in accordance with the CI Logo Use Guidelines (available at [http://www.conservation.org/publications/Documents/CI LOGO guidelines 3-18.pdf](http://www.conservation.org/publications/Documents/CI_LOGO_guidelines_3-18.pdf)) following written approval by CI. All other uses of the logo or the name of CI are subject to the execution of a separate licensing agreement. All uses of the GEF logo outside of the GEF Communication and Visibility Policy require prior written approval by CI.
- Disclosure of assessment documents (e.g., draft ESIA) and draft safeguard documents (e.g., IPP) during Project preparation. Disclosure during Project preparation aims to seek feedback and input from Indigenous Peoples and local communities, and as appropriate other stakeholders, on the safeguard issues identified and the measures incorporated in Project design to address them.
- Disclosure of all assessments prior to Project approval;
- Disclose of all assessments when they have been finalized and approved by the CI-GEF Project Agency Team (prior to Project implementation); and
- Ongoing disclosure during and after conclusion of Project activities to inform communities of implementation activities, potential impacts, measures taken to address them, etc.

ANNEXES

- Annex 1 Budget and Workplan template
- Annex 2 Call for proposals for subgrant projects
- Annex 3 Application form for subgrant projects
- Annex 4 Evaluation form for subgrant project selection
- Annex 5 CI-GEF Project Schedule of Meetings
- Annex 6 CI-GEF Project Agency's Procurement Policy
- Annex 7 CI-GEF Project Grievance Mechanism and Form
- Annex 8 Project Safeguard Screening form and ESMF
- Annex 9 Site Visit Notification Letter
- Annex 10 Site Visit Worksheets
- Annex 11 Budget Approval Process
- Annex 12 External Grants Manual
- Annex 13 Grantee Financial Report Template in single currency
- Annex 14 Grantee Financial Report Template in dual currency
- Annex 15 Grantee Proposal Budget Guidelines
- Annex 16 Grantee Proposal Budget Template in single currency
- Annex 17 Grantee Proposal Budget Template in dual currency
- Annex 18 Financial Questionnaire for Conservation International Grant Recipients
- Annex 19 Security Screening Request Form for External Grants

TOTAL PROJECT BUDGET

- - - - -

The GEF-Satoyama Project
(Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-Ecological Production Landscapes and Seascapes)

CALL FOR PROPOSALS
for
the Indo-Burma Biodiversity Hotspot

October, 2015

Vital Information

Date the Call for Proposals opens: **October 1, 2015**

Date Call for the Proposals closes: **November 18, 2015**

All inquiries should be addressed to: **GEF-Satoyama@conservation.or.jp**

Application materials should be submitted via email to: **GEF-Satoyama@conservation.or.jp**

Executing Agency:

Conservation International Japan

6-7-22-451 Shinjuku, Shinjuku-ku, Tokyo 160-0022 JAPAN

TEL: +81-3-5315-4790

1. Introduction

While protecting pristine natural areas and other high conservation value areas continue to be important for conservation of biodiversity, global conservation of biodiversity will not be achieved without the sustainable management of areas in which people and nature interact. Production landscapes and seascapes refer to the space in which primary industry activities (agriculture, forestry and fisheries) take place in general. Among the production landscapes and seascapes, those that integrate the values of biodiversity and social aspects harmoniously with production activities, such that production activities support biodiversity and vice versa, are termed “socio-ecological production landscapes and seascapes” (SEPLS), the focus of this project. Production landscapes and seascapes are important as buffers and provide vital connection between protected areas. They are also important for the conservation and sustainable use of biodiversity in their own right.

In this background, the “GEF-Satoyama Project” was developed and approved by the Global Environment Facility (GEF). “GEF-Satoyama Project” is a shorthand name for the formal project name, “Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-Ecological Production Landscapes and Seascapes.” It aims to achieve societies in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

The GEF is an international partnership of 183 countries, international institutions, civil society organizations, and private sector to address global environmental issues, and serves as financial mechanism for several international environmental conventions, including the Convention on Biological Diversity. The GEF funds are made available through the CI-GEF Project Agency, a team established in Conservation International (CI) Headquarters in the United States of America. The GEF-Satoyama Project is executed jointly by Conservation International Japan (CI Japan: Executing Agency), United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS) and the Institute for Global Environmental Strategies (IGES).

In the GEF-Satoyama Project, three main components were developed that emphasize: a) field-level demonstration of sustainable management of biodiversity and ecosystems services in production landscapes and seascapes through subgrants; b) knowledge generation and management for SEPLS and developing analytical and training content for a range of stakeholders; and c) capacity building and inter-sectoral collaboration for

ensuring social and ecological values in priority SEPLS¹. These components are inter-related sets of activities that inform each other. This Call invites proposals for subgrant projects, which will be considered for funding support under a) above.

This Call for Proposals for the Indo-Burma Biodiversity Hotspot (Figure 1) is the first of two selection cycles for the grants. The second cycle will be open for Madagascar and the Indian Ocean Islands and the Tropical Andes Biodiversity Hotspots in January 2016.



Figure 1. Map of the Indo-Burma Biodiversity Hotspot

2. Call for Proposals

The GEF-Satoyama Project is seeking subgrant projects that enhance livelihood, conservation and sustainable use of biodiversity and ecosystem services, which take into account the protection and use of traditional knowledge in conservation measures, as well as the equity among various population groups in the project sites including indigenous peoples, women and other vulnerable groups. Site-based projects in production landscapes and seascapes should focus on mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, through:

¹ Annex 1 provides summary of the GEF-Satoyama Project. Further details can be obtained from the Project Document available at the GEF website (<http://www.thegef.org>; GEF Project ID: 5784).

- Conserving, maintaining or revitalizing traditional sustainable practices, globally threatened species² and/or sites of global significance for biodiversity conservation³;
- Restoring degraded production landscapes and/or seascapes in a sustainable manner; and/or
- Implementing livelihood alternatives, e.g. sustainable agricultural, fisheries, or forestry production techniques for the sustainable use of terrestrial, freshwater or marine systems (or a combination of these)

Through the course of the project period, the selected subgrant projects *collectively* are expected to achieve the mainstreaming of conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes, with tangible outcomes including:

- Achieving effective conservation management in production landscapes and/or seascapes in at least 60,000 ha directly and indirectly;
- Improving site-level conservation status of at least 20 globally threatened species; and
- Traditional knowledge benefiting and being protected in conservation measures.

Preference is given to proposals with strong consideration for sustainability and upscaling of the project impacts, such as clear linkages with policies.

2.1 Funding Size and Co-Financing

Funding size: The proposed amount should be between USD50,000 and USD100,000. The average funding will be around USD85,000.

A summary budget shall be presented in the application template (if selected, a full budget must be submitted to the Executing Agency). The budget will likely be revised according to the instructions from the Executing Agency prior to the signing of the Grant Agreement.

Co-financing: Applicants are expected to have at least 1 to 1 co-financing on which the proposed subgrant project will be built. That is, they need to have their own funds (in cash or in-kind) equal to or greater than the grant amount requested for the proposed subgrant projects.

² Species categorized as Critically Endangered (CR), Endangered (EN) or Vulnerable (VU) in the IUCN Red List (see <http://www.iucnredlist.org>).

³ Selected on the basis of the Key Biodiversity Area (KBA) framework of vulnerability and irreplaceability.

2.2 Duration

The subgrant projects can start as early as April 2016, and last up to three years.

2.3 Summary of the eligibility criteria⁴

The applicant must:

- Be a legally registered entity and able to enter into a grant agreement with CI-Japan
- Be capable of taking the lead and be responsible for the overall project management and reporting
- Track the use of funds and report on the fund utilization following the GEF-Satoyama Project Requirements Demonstrate sufficient institutional capacity and financial systems to implement the proposed subgrant project
- Demonstrate at least the same amount of own funds as the amount requested (1 to 1 co-financing) for the implementation of the proposed subgrant project
- Be capable of communicating in English language.

And the subgrant project must:

- Be implemented within the Indo-Burma Biodiversity Hotspot
- Focus primarily on the mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, and be aligned with the scope of the sub-grant projects provided in the former section “*Subgrant Project Description*”
- Be capable of achieving its goals within 3 years
- Be accompanied by a grant request between USD50,000 and USD100,000

2.4 Safeguards

All GEF-funded projects are required to develop and implement safeguards measures, and this requirement applies to subgrant projects as well. For this reason, once selected, subgrant projects will undergo the safeguard analysis by the CI-GEF Project Agency. This process will assess the level of risks that the project might cause or encounter and identify necessary safeguard measures that each subgrant project has to put in place. CI-GEF Project

⁴ Please refer to Annex 2 for the full list of eligibility criteria.

Agency's Environmental and Social Management Framework⁵ covers policies for 1) environmental and social impact assessment, 2) involuntary resettlement, 3) protection of natural habitats, 4) indigenous peoples, 5) physical cultural resource, 6) pest management, 7) accountability and grievance, 8) gender mainstreaming, and 9) stakeholder engagement.

In relation to this, the GEF-Satoyama Project through this Call for Proposals WILL NOT finance projects that:

1. Propose to create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.);
2. Propose to carry out unsustainable harvesting of natural resources (animals, plants, timber and/or non-timber forest products [NTFPs]) or the establishment of forest plantations in critical natural habitats;
3. Contravene major international and regional conventions on environmental issues;
4. Include the involuntary resettlement or displacement of people;
5. Propose the removal, alteration or disturbance of any physical cultural resources or property;
6. Procure products that are in the World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II or pesticides or other chemicals specified as persistent organic pollutants under the Stockholm Convention or that are banned in the host country
7. Any activity that involves the removal, alteration or disturbance of any physical cultural resources; and
8. CI has not been accredited for the GEF Safeguard #7 "Safety of Dams". Therefore, the CI-GEF Project Agency will not be able to propose or receive GEF resources for any projects that:
 - a) design and constructs new dams;
 - b) rehabilitate existing dams; and
 - c) include agriculture or water resource management activities and infrastructure that are highly dependent on the performance of dams or that potentially affect their performance.

⁵ Available at [http://www.conservation.org/publications/Documents/CI-GEF-Environmental-and-Social-Management-Framework-\(ESMF\).pdf](http://www.conservation.org/publications/Documents/CI-GEF-Environmental-and-Social-Management-Framework-(ESMF).pdf)

3. Selection Process

3.1 Submission and Selection Procedures

Please read the information provided carefully before completing and submitting your application. The proposals must follow the designated format (Link to application form) and must be accompanied by the required documentations (Link to list of required documents). Applications must be submitted to the GEF-Satoyama Project Secretariat (GEF-Satoyama@conservation.or.jp) by November 18. An email acknowledging receipt of the application will be sent within 48 hours. If 48 hours has passed and no such email has been received, kindly re-send the application.

The selection criteria, consisting of Eligibility Criteria, Screening Criteria, and Prioritization Criteria, as presented in the Annex 2, will be applied hierarchically to shortlist the candidates during the selection process (Figure 2).

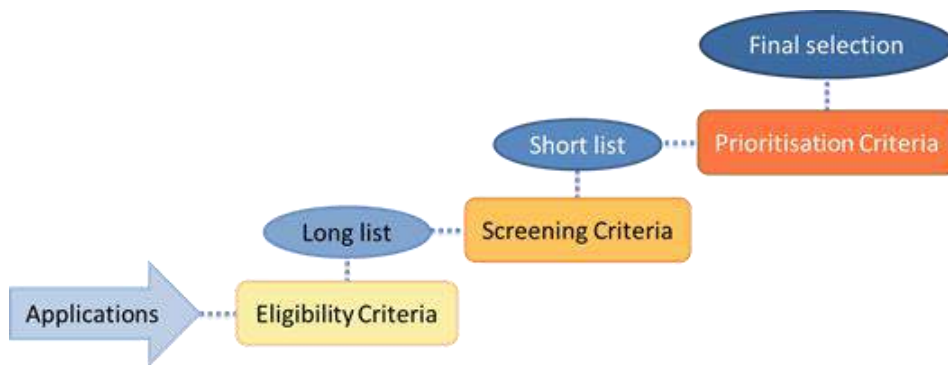


Figure 2: Project selection process

The Eligibility Criteria will specify the elements which absolutely must be satisfied by projects to receive funding under this grant. The Screening Criteria will allow the detailed rating of proposed subgrant project contents vis-à-vis the quality of impacts measurable and/or observable that is expected under this grant. Finally the Prioritization Criteria will allow for the determination of candidates that fit best within the requirements of the grant in terms of meeting the objectives of this component within the given time frame. The selection criteria are presented at the end of this document.

3.2 Selection Schedule

Selection process will follow the schedule below.

Steps	Dates
Proposals are accepted	October 1 – November 18, 2015
Short-listed applicants are contacted for site visit arrangements	Early December 2015
Site visits for final selection take place	Mid-December 2015
Notifications of the selection results are sent	Early January 2016
Selected applicants develop and submit the project workplans to the Executing Agency	End of January, 2016
Grant agreements are signed	February 2016

4. After the Subgrant Projects are selected

4.1 Grant Agreement

The selected applicants will be signing grant agreements with CI Japan, after completing the CI-mandatory security screening and financial questionnaire. The full budget and workplan will be attached to the grant agreement.

4.2 Use of the Indicators of Resilience

The proponents of the subgrant projects are expected to use the Indicators of Resilience (<http://satoyama-initiative.org/wp/wp-content/uploads/2014/11/TOOLKIT-X-WEB.pdf>) to document the baseline conditions of the project site and to monitor the changes, where appropriate. Representative(s) will be invited to a training session (place and schedule to be announced), at which they will be trained in the use of these indicators.

4.3 Reporting to the Executing Agency

Quarterly and annual project implementation reports will be required. The proponents of the subgrant projects will be required to submit technical and financial report quarterly in a simplified format to be provided. A more detailed report will be required for annual project implementation reports.

4.5 Monitoring and Evaluation

Members of the Executing Agency will visit each subgrant project site annually for monitoring and evaluation purposes. Proponents of the subgrant projects are requested to assist in the logistical arrangement. Project progress will be assessed based on the reports submitted and site visits, and adjustments may be required accordingly.

Inquiries

All inquiries should be submitted by email to the GEF-Satoyama Project Secretariat at GEF-Satoyama@conservation.or.jp. Phone and postal mailing should be used only for exceptional circumstances.

Reference Documents

The following reference materials are available through the links provided in the Call for Proposals webpage

(<http://www.conservation.org/global/japan/Pages/GEFSatoyama2015.aspx>).

- Link to the Project Document
- Environmental and Social Management Framework
- Grievance Mechanism
- Link to Satoyama Initiative

Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-ecological Production Landscapes and Seascapes

Shorthand name:	GEF-Satoyama Project
Project Duration:	September 1, 2015 – June 30, 2019 (46 months)
GEF Project Agency:	Conservation International
Executing Agencies:	Conservation International Japan (CI Japan; lead), with United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS) and Institute for Global Environmental Strategies (IGES)
Funding:	GEF: USD1,909,000 / Co-financing: USD6,350,000

I. Project Vision

Society in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

II. Project Objective

To mainstream conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes.

III. Project Components

The Project is consisted of the following interrelated, mutually-informing components.

Component 1: “On-the-ground demonstration”. Enhancing livelihood, conservation and sustainable use of biodiversity and ecosystem services through investing in demonstration projects (Lead: CI Japan)

Outcome 1.1: Effective conservation management in selected priority production landscapes and seascapes achieved.

Outcome 1.2: Site-level conservation status of globally threatened species improved.

Outcome 1.3: Traditional knowledge benefiting and being protected in conservation measures.

Component 2: “Knowledge generation”. Improving knowledge generation to increase understanding, raise awareness and promote mainstreaming biodiversity in production landscapes and seascapes (Lead: IGES)

Outcome 2.1: Global knowledge on “socio-ecological production landscapes and seascapes” (SEPLS) for mainstreaming biodiversity conservation and sustainable use into primary production landscapes and seascapes enhanced.

Component 3: “Capacity-building workshops and trainings”. Improving inter-sectoral collaboration and capacities for maintaining, restoring and revitalizing social and ecological values in priority SEPLS (Lead: UNU-IAS)

Outcome 3.1: Capacity of multi-sectoral stakeholders, including national and international decision-makers, practitioners and under-represented groups, to collaborate and mainstream biodiversity conservation and sustainable management increased.

IV. Compliance, Monitoring and Evaluation

The Project will remain compliant with CI-GEF Project Agency’s Environmental and Social Management Framework, including the Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan, and follow the Monitoring and Evaluation Plan.

Annex 2

List of project selection criteria

■ Eligibility criteria
Applicants satisfying the following conditions are eligible to apply.
<i>The applicant must:</i>
<ol style="list-style-type: none">1. Be a legally registered entities and able to enter into a grant agreement with CI Japan2. Be capable of taking the lead and be responsible for the overall project management and reporting3. Be a Civil Society Organization, private sector entity, government entity or other types of entity, provided the entity commit to comply with the reporting requirements of the GEF-Satoyama Project4. Demonstrated sufficient institutional capacity and financial systems to implement the proposed subgrant project; e.g. robust institutional structure, competent human resources and convincing results from precedent projects5. Demonstrate at least the same amount of own funds as the amount requested (1 to 1 co-financing) for the implementation of the proposed subgrant project6. The applicant is not a member of or affiliated to a member of the Executive Team⁶ of the GEF-Satoyama Project7. Be capable of communicating in English Language
Any applicant that makes an unequivocally false presentation of him/herself or his/her organization will be disregarded
<i>The subgrant project must:</i>
<ol style="list-style-type: none">1. Be implemented within the Indo-Burma Biodiversity Hotspot2. Focus primarily on mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, through:<ul style="list-style-type: none">- Conserving, maintaining or revitalizing traditional sustainable practices, threatened species and/or sites of global significance for biodiversity conservation;- Restoring degraded production landscapes and/or seascapes; and/or- Implementing livelihood alternatives, e.g. sustainable agricultural, fisheries, or forestry production techniques for the sustainable use of terrestrial, freshwater or marine systems (or a combination of these)3. Be capable of achieving its goals within 3 years4. Be accompanied by a grant request within the range of USD50,000 to USD100,000

⁶ CI Japan, UNU-IAS, IGES

■ Screening criteria
The GEF-Satoyama Project will evaluate project proposals according to the following criteria.
<i>A. Relevance</i>
<ol style="list-style-type: none"> 1. The contents of the proposed subgrant project demonstrate a high relevance to enhancement of conservation and sustainable use of biodiversity and ecosystem services in production landscapes and seascapes through: <ol style="list-style-type: none"> 1.1. Contribution to improving local livelihoods and engaging local communities including indigenous peoples, women and other vulnerable groups, and drawing from traditional knowledge (relevance to the local needs), <i>and</i> 1.2. Contribution to mainstreaming the conservation and sustainable use of biodiversity in sectoral, land use and/or development policies and plans (relevance to the policies) 2. The proposed subgrant project is synergized with the goals and objectives of the National Biodiversity Strategy and Action Plan (NBSAP) of the country in which the proposed subgrant project will take place, and demonstrates clear contribution to the achievement of global goals, such as Aichi Biodiversity Targets under the Convention on Biological Diversity and United Nations Sustainable Development Goals (SDGs). 3. The proposed subgrant project is likely to foster good practices, and to provide lessons useful for other organizations and local communities. 4. The proposed subgrant project demonstrates and seeks to address present and potential threats faced by SEPLS
<i>B. Expected Impact</i>
<ol style="list-style-type: none"> 5. The applicant fully identifies and understands the threat/threats at hand, proposes concrete strategies/plans to address them, outlines the expected outcomes and outputs of the project, and defines the process and mechanisms for promoting key stakeholders' engagement in the project implementation 6. The proposed subgrant project demonstrates cost effectiveness through coordination with existing and new initiatives by other organizations 7. The project proposal intends to make broader impact on the environment and human wellbeing beyond the project's spatial and temporal scope, such as policy enactment/improvement or knowledge generation (at any level).
<i>C. Feasibility</i>
<ol style="list-style-type: none"> 8. The proposal presents realistic activities and implementation plans for achieving outputs within 3 years (36 months) 9. The project proposal demonstrates appropriate implementation capacity, with detailed institutional roles and modalities 10. The project proposal demonstrates a reliable financial plan
<i>D. Sustainability and Social and Environmental Safeguards</i>
<ol style="list-style-type: none"> 11. The implementing organization has properly identified measures for mitigating possible risks that may emerge in the project implementation process <ol style="list-style-type: none"> 11.1. The applicant provides assurance that involuntary resettlement will not occur as a result of the funded activities 11.2. The applicant is committed to implementing appropriate safeguard mechanisms; especially for engagement of indigenous peoples, relevant stakeholders, and gender mainstreaming (specific measures will be determined through the safeguard analysis to take place after the selection) 12. There is commitment to follow the project's Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan 13. The project proposal intends to establish self-reliant operating mechanisms for the continuation of project activities, and/or the activities promoted under the project are likely to generate a positive knock-on effect after the cessation of the subgrant project

<p>■ Prioritization criteria</p> <p>The selection will give priority to projects fulfilling the following.</p> <p>A. Thematic priority</p> <p>14. The proposed subgrant project contributes to assessing, utilizing and enhancing Traditional Knowledge related to SEPLS management and natural resource use, and demonstrates an ability to fill knowledge gaps at global level, with particular consideration for those held and managed by women</p> <p>15. The proposed subgrant project focuses on threatened species and/or sites demonstrating global biodiversity significance</p> <p>16. The proposed subgrant project demonstrates innovation in the suggested approaches/activities</p> <p>17. The proposed subgrant project aims to engage private sector actors</p> <p>B. Country Ownership and Drivenness</p> <p>18. The proposed subgrant project has to be in line with key country strategies, such as NBSAPs. Involvement of national and local stakeholders is important. It is preferable that the applicant have already nurtured the relationship with the responsible government entities.</p>
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<p>■ Portfolio criteria</p> <p>These criteria will not be applied to individual subgrant projects, but be applied to the set of all subgrant projects from three Biodiversity Hotspots collectively.</p> <p>19. The overall portfolio of selected sites will be designed to provide maximum demonstration value through a within-set diversity of global distribution, ecosystem types, threats and intervention types.</p> <p>20. Subgrant projects collectively are expected to achieve tangible outcomes including:</p> <ul style="list-style-type: none"> • Achieving effective conservation management in production landscapes and/or seascapes in at least 60,000 ha directly and indirectly; • Improving site-level conservation status of at least 20 globally threatened species; and • Traditional knowledge benefiting and being protected in conservation measures.
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The GEF-Satoyama Project
(Mainstreaming Biodiversity Conservation and
Sustainable Management in Priority Socio-
Ecological Production Landscapes and
Seascapes)

CALL FOR PROPOSALS

for

the Madagascar and Indian Ocean Islands
Biodiversity Hotspot

January, 2016

Vital Information

Date the Call for Proposals opens: **January 1, 2016**

Date Call for the Proposals closes: **February 23, 2016**

All inquiries should be addressed to: **GEF-Satoyama@conservation.or.jp**

Application materials should be submitted via email to: **GEF-Satoyama@conservation.or.jp**

Executing Agency:

Conservation International Japan

6-7-22-451 Shinjuku, Shinjuku-ku, Tokyo 160-0022 JAPAN

TEL: +81-3-5315-4790

1. Introduction

While protecting pristine natural areas and other high conservation value areas continue to be important for conservation of biodiversity, global conservation of biodiversity will not be achieved without the sustainable management of areas in which people and nature interact. Production landscapes and seascapes refer to the space in which primary industry activities (agriculture, forestry and fisheries) take place in general. Among the production landscapes and seascapes, those that integrate the values of biodiversity and social aspects harmoniously with production activities, such that production activities support biodiversity and vice versa, are termed “socio-ecological production landscapes and seascapes” (SEPLS), the focus of this project. Production landscapes and seascapes are important as buffers and provide vital connection between protected areas. They are also important for the conservation and sustainable use of biodiversity in their own right.

In this background, the “GEF-Satoyama Project” was developed and approved by the Global Environment Facility (GEF). “GEF-Satoyama Project” is a shorthand name for the formal project name, “Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-Ecological Production Landscapes and Seascapes.” It aims to achieve societies in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

The GEF is an international partnership of 183 countries, international institutions, civil society organizations, and private sector to address global environmental issues, and serves as financial mechanism for several international environmental conventions, including the Convention on Biological Diversity. The GEF funds are made available through the CI-GEF Project Agency, a team established in Conservation International (CI) Headquarters in the United States of America. The GEF-Satoyama Project is executed jointly by Conservation International Japan (CI Japan: Executing Agency), United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS) and the Institute for Global Environmental Strategies (IGES).

In the GEF-Satoyama Project, three main components were developed that emphasize: a) field-level demonstration of sustainable management of biodiversity and ecosystems services in production landscapes and seascapes through subgrants; b) knowledge generation and management for SEPLS and developing analytical and training content for a range of stakeholders; and c) capacity building and inter-sectoral collaboration for

ensuring social and ecological values in priority SEPLS¹. These components are inter-related sets of activities that inform each other. This Call invites proposals for subgrant projects, which will be considered for funding support under a) above.

This Call for Proposals for the Madagascar and Indian Ocean Islands Biodiversity Hotspot (Figure 1) along with that of the Tropical Andes is the second of two selection cycles for the grants. The first cycle was opened for Indo-Burma in October 2015.

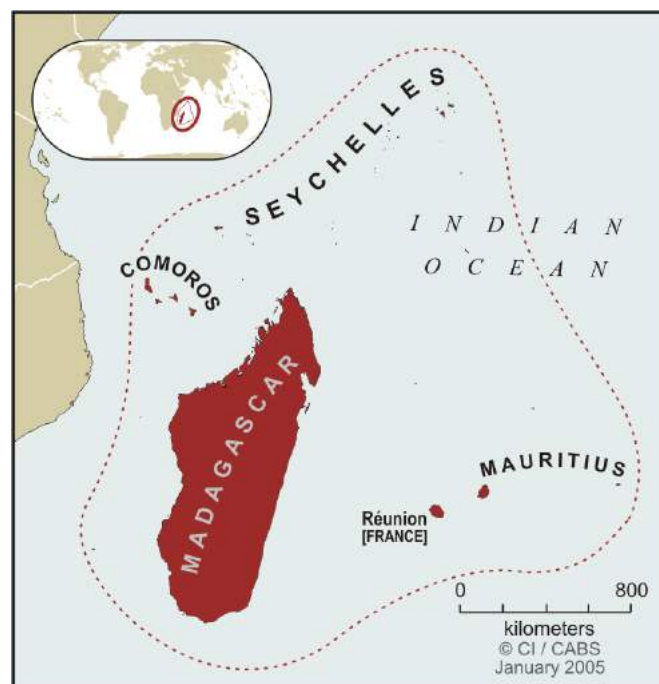


Figure 1. Map of the Madagascar and Indian Ocean Islands Biodiversity Hotspot

2. Call for Proposals

The GEF-Satoyama Project is seeking subgrant projects that enhance livelihood, conservation and sustainable use of biodiversity and ecosystem services, which take into account the protection and use of traditional knowledge in conservation measures, as well as the equity among various population groups in the project sites including indigenous peoples, women and other vulnerable groups. Site-based projects in production landscapes and seascapes should focus on mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, through:

¹ Annex 1 provides summary of the GEF-Satoyama Project. Further details can be obtained from the Project Document available at the GEF website (<http://www.thegef.org>; GEF Project ID: 5784).

- Conserving, maintaining or revitalizing traditional sustainable practices, globally threatened species² and/or sites of global significance for biodiversity conservation³;
- Restoring degraded production landscapes and/or seascapes in a sustainable manner; and/or
- Implementing livelihood alternatives, e.g. sustainable agricultural, fisheries, or forestry production techniques for the sustainable use of terrestrial, freshwater or marine systems (or a combination of these)

Through the course of the project period, the selected subgrant projects *collectively* are expected to achieve the mainstreaming of conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes, with tangible outcomes including:

- Achieving effective conservation management in production landscapes and/or seascapes in at least 60,000 ha directly and indirectly;
- Improving site-level conservation status of at least 20 globally threatened species; and
- Traditional knowledge benefiting and being protected in conservation measures.

Preference is given to proposals with strong consideration for sustainability and upscaling of the project impacts, such as clear linkages with policies.

2.1 Funding Size and Co-Financing

Funding size: The proposed amount should be between USD50,000 and USD100,000. The average funding will be around USD85,000.

A summary budget shall be presented in the application template(if selected, a full budget must be submitted to the Executing Agency). The budget will likely be revised according to the instructions from the Executing Agency prior to the signing of the Grant Agreement.

Co-financing: Applicants are expected to have at least 1 to 1 co-financing on which the proposed subgrant project will be built. That is, they need to have their own funds (in cash or in-kind) equal to or greater than the grant amount requested for the proposed subgrant projects.

² Species categorized as Critically Endangered (CR), Endangered (EN) or Vulnerable (VU) in the IUCN Red List (see <http://www.iucnredlist.org>).

³ Selected on the basis of the Key Biodiversity Area (KBA) framework of vulnerability and irreplaceability.

2.2 Duration

The subgrant projects can start as early as April 2016, and last up to three years.

2.3 Summary of the eligibility criteria⁴

The applicant must:

- Be a legally registered entity and able to enter into a grant agreement with CI-Japan
- Be capable of taking the lead and be responsible for the overall project management and reporting
- Track the use of funds and report on the fund utilization following the GEF-Satoyama Project Requirements Demonstrate sufficient institutional capacity and financial systems to implement the proposed subgrant project
- Demonstrate at least the same amount of own funds as the amount requested (1 to 1 co-financing) for the implementation of the proposed subgrant project
- Be capable of communicating in English language.

And the subgrant project must:

- Be implemented within the Indo-Burma Biodiversity Hotspot
- Focus primarily on the mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, and be aligned with the scope of the sub-grant projects provided in the former section “*Subgrant Project Description*”
- Be capable of achieving its goals within 3 years
- Be accompanied by a grant request between USD50,000 and USD100,000

2.4 Safeguards

All GEF-funded projects are required to develop and implement safeguards measures, and this requirement applies to subgrant projects as well. For this reason, once selected, subgrant projects will undergo the safeguard analysis by the CI-GEF Project Agency. This process will assess the level of risks that the project might cause or encounter and identify necessary safeguard measures that each subgrant project has to put in place. CI-GEF Project

⁴ Please refer to Annex 2 for the full list of eligibility criteria.

Agency's Environmental and Social Management Framework⁵ covers policies for 1) environmental and social impact assessment, 2) involuntary resettlement, 3) protection of natural habitats, 4) indigenous peoples, 5) physical cultural resource, 6) pest management, 7) accountability and grievance, 8) gender mainstreaming, and 9) stakeholder engagement.

In relation to this, the GEF-Satoyama Project through this Call for Proposals WILL NOT finance projects that:

1. Propose to create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.);
2. Propose to carry out unsustainable harvesting of natural resources (animals, plants, timber and/or non-timber forest products [NTFPs]) or the establishment of forest plantations in critical natural habitats;
3. Contravene major international and regional conventions on environmental issues;
4. Include the involuntary resettlement or displacement of people;
5. Propose the removal, alteration or disturbance of any physical cultural resources or property;
6. Procure products that are in the World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II or pesticides or other chemicals specified as persistent organic pollutants under the Stockholm Convention or that are banned in the host country
7. Any activity that involves the removal, alteration or disturbance of any physical cultural resources; and
8. CI has not been accredited for the GEF Safeguard #7 "Safety of Dams". Therefore, the CI-GEF Project Agency will not be able to propose or receive GEF resources for any projects that:
 - a) design and constructs new dams;
 - b) rehabilitate existing dams; and
 - c) include agriculture or water resource management activities and infrastructure that are highly dependent on the performance of dams or that potentially affect their performance.

⁵ Available at [http://www.conservation.org/publications/Documents/CI-GEF-Environmental-and-Social-Management-Framework-\(ESMF\).pdf](http://www.conservation.org/publications/Documents/CI-GEF-Environmental-and-Social-Management-Framework-(ESMF).pdf)

3. Selection Process

3.1 Submission and Selection Procedures

Please read the information provided carefully before completing and submitting your application. The proposals must follow the designated format (Link to application form) and must be accompanied by the required documentations (Link to list of required documents). Applications must be submitted to the GEF-Satoyama Project Secretariat (GEF-Satoyama@conservation.or.jp) by November 18. An email acknowledging receipt of the application will be sent within 48 hours. If 48 hours has passed and no such email has been received, kindly re-send the application.

The selection criteria, consisting of Eligibility Criteria, Screening Criteria, and Prioritization Criteria, as presented in the Annex 2, will be applied hierarchically to shortlist the candidates during the selection process (Figure 2).

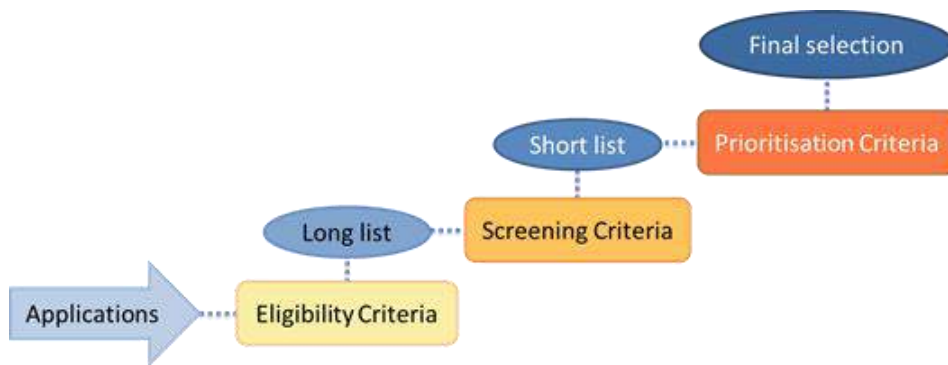


Figure 2: Project selection process

The Eligibility Criteria will specify the elements which absolutely must be satisfied by projects to receive funding under this grant. The Screening Criteria will allow the detailed rating of proposed subgrant project contents vis-à-vis the quality of impacts measurable and/or observable that is expected under this grant. Finally the Prioritization Criteria will allow for the determination of candidates that fit best within the requirements of the grant in terms of meeting the objectives of this component within the given time frame. The selection criteria are presented at the end of this document.

3.2 Selection Schedule

Selection process will follow the schedule below.

Steps	Dates
Proposals are accepted	October 1 – November 18, 2015
Short-listed applicants are contacted for site visit arrangements	Early December 2015
Site visits for final selection take place	Mid-December 2015
Notifications of the selection results are sent	Early January 2016
Selected applicants develop and submit the project workplans to the Executing Agency	End of January, 2016
Grant agreements are signed	February 2016

4. After the Subgrant Projects are selected

4.1 Grant Agreement

The selected applicants will be signing grant agreements with CI Japan, after completing the CI-mandatory security screening and financial questionnaire. The full budget and workplan will be attached to the grant agreement.

4.2 Use of the Indicators of Resilience

The proponents of the subgrant projects are expected to use the Indicators of Resilience (<http://satoyama-initiative.org/wp/wp-content/uploads/2014/11/TOOLKIT-X-WEB.pdf>) to document the baseline conditions of the project site and to monitor the changes, where appropriate. Representative(s) will be invited to a training session (place and schedule to be announced), at which they will be trained in the use of these indicators.

4.3 Reporting to the Executing Agency

Quarterly and annual project implementation reports will be required. The proponents of the subgrant projects will be required to submit technical and financial report quarterly in a simplified format to be provided. A more detailed report will be required for annual project implementation reports.

4.5 Monitoring and Evaluation

Members of the Executing Agency will visit each subgrant project site annually for monitoring and evaluation purposes. Proponents of the subgrant projects are requested to assist in the logistical arrangement. Project progress will be assessed based on the reports submitted and site visits, and adjustments may be required accordingly.

Inquiries

All inquiries should be submitted by email to the GEF-Satoyama Project Secretariat at GEF-Satoyama@conservation.or.jp. Phone and postal mailing should be used only for exceptional circumstances.

Reference Documents

The following reference materials are available through the links provided in the Call for Proposals webpage

(<http://www.conservation.org/global/japan/Pages/GEFSatoyama2015.aspx>).

- Link to the Project Document
- Environmental and Social Management Framework
- Grievance Mechanism
- Link to Satoyama Initiative

Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-ecological Production Landscapes and Seascapes

Shorthand name:	GEF-Satoyama Project
Project Duration:	September 1, 2015 – June 30, 2019 (46 months)
GEF Project Agency:	Conservation International
Executing Agencies:	Conservation International Japan (CI Japan; lead), with United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS) and Institute for Global Environmental Strategies (IGES)
Funding:	GEF: USD1,909,000 / Co-financing: USD6,350,000

I. Project Vision

Society in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

II. Project Objective

To mainstream conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes.

III. Project Components

The Project is consisted of the following interrelated, mutually-informing components.

Component 1: “On-the-ground demonstration”. Enhancing livelihood, conservation and sustainable use of biodiversity and ecosystem services through investing in demonstration projects (Lead: CI Japan)

Outcome 1.1: Effective conservation management in selected priority production landscapes and seascapes achieved.

Outcome 1.2: Site-level conservation status of globally threatened species improved.

Outcome 1.3: Traditional knowledge benefiting and being protected in conservation measures.

Component 2: “Knowledge generation”. Improving knowledge generation to increase understanding, raise awareness and promote mainstreaming biodiversity in production landscapes and seascapes (Lead: IGES)

Outcome 2.1: Global knowledge on “socio-ecological production landscapes and seascapes” (SEPLS) for mainstreaming biodiversity conservation and sustainable use into primary production landscapes and seascapes enhanced.

Component 3: “Capacity-building workshops and trainings”. Improving inter-sectoral collaboration and capacities for maintaining, restoring and revitalizing social and ecological values in priority SEPLS (Lead: UNU-IAS)

Outcome 3.1: Capacity of multi-sectoral stakeholders, including national and international decision-makers, practitioners and under-represented groups, to collaborate and mainstream biodiversity conservation and sustainable management increased.

IV. Compliance, Monitoring and Evaluation

The Project will remain compliant with CI-GEF Project Agency’s Environmental and Social Management Framework, including the Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan, and follow the Monitoring and Evaluation Plan.

Annex 2

List of project selection criteria

■ Eligibility criteria
Applicants satisfying the following conditions are eligible to apply.
<i>The applicant must:</i>
<ol style="list-style-type: none">1. Be a legally registered entities and able to enter into a grant agreement with CI Japan2. Be capable of taking the lead and be responsible for the overall project management and reporting3. Be a Civil Society Organization, private sector entity, government entity or other types of entity, provided the entity commit to comply with the reporting requirements of the GEF-Satoyama Project4. Demonstrated sufficient institutional capacity and financial systems to implement the proposed subgrant project; e.g. robust institutional structure, competent human resources and convincing results from precedent projects5. Demonstrate at least the same amount of own funds as the amount requested (1 to 1 co-financing) for the implementation of the proposed subgrant project6. The applicant is not a member of or affiliated to a member of the Executive Team⁶ of the GEF-Satoyama Project7. Be capable of communicating in English Language
Any applicant that makes an unequivocally false presentation of him/herself or his/her organization will be disregarded
<i>The subgrant project must:</i>
<ol style="list-style-type: none">1. Be implemented within the Indo-Burma Biodiversity Hotspot2. Focus primarily on mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, through:<ul style="list-style-type: none">- Conserving, maintaining or revitalizing traditional sustainable practices, threatened species and/or sites of global significance for biodiversity conservation;- Restoring degraded production landscapes and/or seascapes; and/or- Implementing livelihood alternatives, e.g. sustainable agricultural, fisheries, or forestry production techniques for the sustainable use of terrestrial, freshwater or marine systems (or a combination of these)3. Be capable of achieving its goals within 3 years4. Be accompanied by a grant request within the range of USD50,000 to USD100,000

⁶ CI Japan, UNU-IAS, IGES

<p>■ Screening criteria</p>
<p>The GEF-Satoyama Project will evaluate project proposals according to the following criteria.</p>
<p><i>A. Relevance</i></p>
<ol style="list-style-type: none"> 1. The contents of the proposed subgrant project demonstrate a high relevance to enhancement of conservation and sustainable use of biodiversity and ecosystem services in production landscapes and seascapes through: <ol style="list-style-type: none"> 1.1. Contribution to improving local livelihoods and engaging local communities including indigenous peoples, women and other vulnerable groups, and drawing from traditional knowledge (relevance to the local needs), <i>and</i> 1.2. Contribution to mainstreaming the conservation and sustainable use of biodiversity in sectoral, land use and/or development policies and plans (relevance to the policies) 2. The proposed subgrant project is synergized with the goals and objectives of the National Biodiversity Strategy and Action Plan (NBSAP) of the country in which the proposed subgrant project will take place, and demonstrates clear contribution to the achievement of global goals, such as Aichi Biodiversity Targets under the Convention on Biological Diversity and United Nations Sustainable Development Goals (SDGs). 3. The proposed subgrant project is likely to foster good practices, and to provide lessons useful for other organizations and local communities. 4. The proposed subgrant project demonstrates and seeks to address present and potential threats faced by SEPLS
<p><i>B. Expected Impact</i></p>
<ol style="list-style-type: none"> 5. The applicant fully identifies and understands the threat/threats at hand, proposes concrete strategies/plans to address them, outlines the expected outcomes and outputs of the project, and defines the process and mechanisms for promoting key stakeholders' engagement in the project implementation 6. The proposed subgrant project demonstrates cost effectiveness through coordination with existing and new initiatives by other organizations 7. The project proposal intends to make broader impact on the environment and human wellbeing beyond the project's spatial and temporal scope, such as policy enactment/improvement or knowledge generation (at any level).
<p><i>C. Feasibility</i></p>
<ol style="list-style-type: none"> 8. The proposal presents realistic activities and implementation plans for achieving outputs within 3 years (36 months) 9. The project proposal demonstrates appropriate implementation capacity, with detailed institutional roles and modalities 10. The project proposal demonstrates a reliable financial plan
<p><i>D. Sustainability and Social and Environmental Safeguards</i></p>
<ol style="list-style-type: none"> 11. The implementing organization has properly identified measures for mitigating possible risks that may emerge in the project implementation process <ol style="list-style-type: none"> 11.1. The applicant provides assurance that involuntary resettlement will not occur as a result of the funded activities 11.2. The applicant is committed to implementing appropriate safeguard mechanisms; especially for engagement of indigenous peoples, relevant stakeholders, and gender mainstreaming (specific measures will be determined through the safeguard analysis to take place after the selection) 12. There is commitment to follow the project's Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan 13. The project proposal intends to establish self-reliant operating mechanisms for the continuation of project activities, and/or the activities promoted under the project are likely to generate a positive knock-on effect after the cessation of the subgrant project

<p>■ Prioritization criteria</p> <p>The selection will give priority to projects fulfilling the following.</p> <p>A. Thematic priority</p> <p>14. The proposed subgrant project contributes to assessing, utilizing and enhancing Traditional Knowledge related to SEPLS management and natural resource use, and demonstrates an ability to fill knowledge gaps at global level, with particular consideration for those held and managed by women</p> <p>15. The proposed subgrant project focuses on threatened species and/or sites demonstrating global biodiversity significance</p> <p>16. The proposed subgrant project demonstrates innovation in the suggested approaches/activities</p> <p>17. The proposed subgrant project aims to engage private sector actors</p> <p>B. Country Ownership and Drivenness</p> <p>18. The proposed subgrant project has to be in line with key country strategies, such as NBSAPs. Involvement of national and local stakeholders is important. It is preferable that the applicant have already nurtured the relationship with the responsible government entities.</p>
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<p>■ Portfolio criteria</p> <p>These criteria will not be applied to individual subgrant projects, but be applied to the set of all subgrant projects from three Biodiversity Hotspots collectively.</p> <p>19. The overall portfolio of selected sites will be designed to provide maximum demonstration value through a within-set diversity of global distribution, ecosystem types, threats and intervention types.</p> <p>20. Subgrant projects collectively are expected to achieve tangible outcomes including:</p> <ul style="list-style-type: none"> • Achieving effective conservation management in production landscapes and/or seascapes in at least 60,000 ha directly and indirectly; • Improving site-level conservation status of at least 20 globally threatened species; and • Traditional knowledge benefiting and being protected in conservation measures.
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The GEF-Satoyama Project
(Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-Ecological Production Landscapes and Seascapes)

CALL FOR PROPOSALS
for
the Tropical Andes Biodiversity Hotspot

January, 2016

Vital Information

Date the Call for Proposals opens: **January 1, 2016**

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All inquiries should be addressed to: **GEF-Satoyama@conservation.or.jp**

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Executing Agency:

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1. Introduction

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In this background, the “GEF-Satoyama Project” was developed and approved by the Global Environment Facility (GEF). “GEF-Satoyama Project” is a shorthand name for the formal project name, “Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-Ecological Production Landscapes and Seascapes.” It aims to achieve societies in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

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In the GEF-Satoyama Project, three main components were developed that emphasize: a) field-level demonstration of sustainable management of biodiversity and ecosystems services in production landscapes and seascapes through subgrants; b) knowledge generation and management for SEPLS and developing analytical and training content for a range of stakeholders; and c) capacity building and inter-sectoral collaboration for

ensuring social and ecological values in priority SEPLS¹. These components are inter-related sets of activities that inform each other. This Call invites proposals for subgrant projects, which will be considered for funding support under a) above.

This Call for Proposals for the Tropical Andes Hotspot (Figure 1) along with that of the Madagascar and Indian Ocean Islands is the second of two selection cycles for the grants. The first cycle was opened for Indo-Burma in October 2015.



Figure 1. Map of the Tropical Andes Biodiversity Hotspot

2. Call for Proposals

The GEF-Satoyama Project is seeking subgrant projects that enhance livelihood, conservation and sustainable use of biodiversity and ecosystem services, which take into account the protection and use of traditional knowledge in conservation measures, as well as the equity among various population groups in the project sites including indigenous peoples, women and other vulnerable groups. Site-based projects in production landscapes and seascapes should focus on mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, through:

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Through the course of the project period, the selected subgrant projects *collectively* are expected to achieve the mainstreaming of conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes, with tangible outcomes including:

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Preference is given to proposals with strong consideration for sustainability and upscaling of the project impacts, such as clear linkages with policies.

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Funding size: The proposed amount should be between USD50,000 and USD100,000. The average funding will be around USD85,000.

A summary budget shall be presented in the application template(if selected, a full budget must be submitted to the Executing Agency). The budget will likely be revised according to the instructions from the Executing Agency prior to the signing of the Grant Agreement.

Co-financing: Applicants are expected to have at least 1 to 1 co-financing on which the proposed subgrant project will be built. That is, they need to have their own funds (in cash or in-kind) equal to or greater than the grant amount requested for the proposed subgrant projects.

² Species categorized as Critically Endangered (CR), Endangered (EN) or Vulnerable (VU) in the IUCN Red List (see <http://www.iucnredlist.org>).

³ Selected on the basis of the Key Biodiversity Area (KBA) framework of vulnerability and irreplaceability.

2.2 Duration

The subgrant projects can start as early as April 2016, and last up to three years.

2.3 Summary of the eligibility criteria⁴

The applicant must:

- Be a legally registered entity and able to enter into a grant agreement with CI-Japan
- Be capable of taking the lead and be responsible for the overall project management and reporting
- Track the use of funds and report on the fund utilization following the GEF-Satoyama Project Requirements Demonstrate sufficient institutional capacity and financial systems to implement the proposed subgrant project
- Demonstrate at least the same amount of own funds as the amount requested (1 to 1 co-financing) for the implementation of the proposed subgrant project
- Be capable of communicating in English language.

And the subgrant project must:

- Be implemented within the Indo-Burma Biodiversity Hotspot
- Focus primarily on the mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, and be aligned with the scope of the sub-grant projects provided in the former section “*Subgrant Project Description*”
- Be capable of achieving its goals within 3 years
- Be accompanied by a grant request between USD50,000 and USD100,000

2.4 Safeguards

All GEF-funded projects are required to develop and implement safeguards measures, and this requirement applies to subgrant projects as well. For this reason, once selected, subgrant projects will undergo the safeguard analysis by the CI-GEF Project Agency. This process will assess the level of risks that the project might cause or encounter and identify necessary safeguard measures that each subgrant project has to put in place. CI-GEF Project

⁴ Please refer to Annex 2 for the full list of eligibility criteria.

Agency's Environmental and Social Management Framework⁵ covers policies for 1) environmental and social impact assessment, 2) involuntary resettlement, 3) protection of natural habitats, 4) indigenous peoples, 5) physical cultural resource, 6) pest management, 7) accountability and grievance, 8) gender mainstreaming, and 9) stakeholder engagement.

In relation to this, the GEF-Satoyama Project through this Call for Proposals WILL NOT finance projects that:

1. Propose to create significant destruction or degradation of critical natural habitats of any type (forests, wetlands, grasslands, coastal/marine ecosystems, etc.);
2. Propose to carry out unsustainable harvesting of natural resources (animals, plants, timber and/or non-timber forest products [NTFPs]) or the establishment of forest plantations in critical natural habitats;
3. Contravene major international and regional conventions on environmental issues;
4. Include the involuntary resettlement or displacement of people;
5. Propose the removal, alteration or disturbance of any physical cultural resources or property;
6. Procure products that are in the World Health Organization (WHO) Classes IA and IB, or formulations of products in Class II or pesticides or other chemicals specified as persistent organic pollutants under the Stockholm Convention or that are banned in the host country
7. Any activity that involves the removal, alteration or disturbance of any physical cultural resources; and
8. CI has not been accredited for the GEF Safeguard #7 "Safety of Dams". Therefore, the CI-GEF Project Agency will not be able to propose or receive GEF resources for any projects that:
 - a) design and constructs new dams;
 - b) rehabilitate existing dams; and
 - c) include agriculture or water resource management activities and infrastructure that are highly dependent on the performance of dams or that potentially affect their performance.

⁵ Available at [http://www.conservation.org/publications/Documents/CI-GEF-Environmental-and-Social-Management-Framework-\(ESMF\).pdf](http://www.conservation.org/publications/Documents/CI-GEF-Environmental-and-Social-Management-Framework-(ESMF).pdf)

3. Selection Process

3.1 Submission and Selection Procedures

Please read the information provided carefully before completing and submitting your application. The proposals must follow the designated format (Link to application form) and must be accompanied by the required documentations (Link to list of required documents). Applications must be submitted to the GEF-Satoyama Project Secretariat (GEF-Satoyama@conservation.or.jp) by November 18. An email acknowledging receipt of the application will be sent within 48 hours. If 48 hours has passed and no such email has been received, kindly re-send the application.

The selection criteria, consisting of Eligibility Criteria, Screening Criteria, and Prioritization Criteria, as presented in the Annex 2, will be applied hierarchically to shortlist the candidates during the selection process (Figure 2).

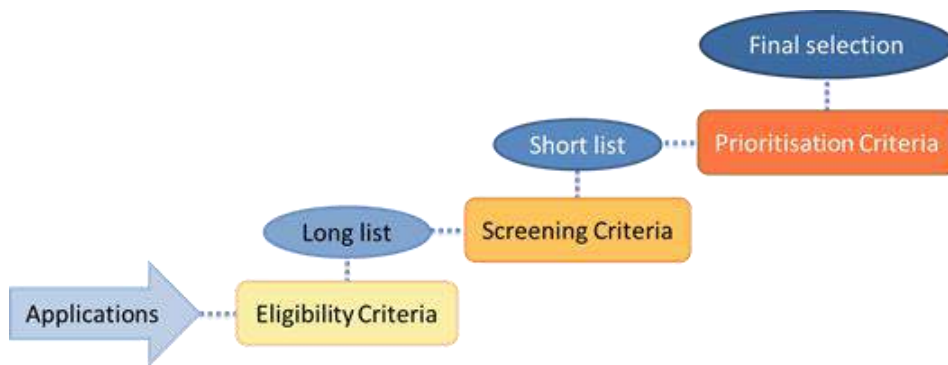


Figure 2: Project selection process

The Eligibility Criteria will specify the elements which absolutely must be satisfied by projects to receive funding under this grant. The Screening Criteria will allow the detailed rating of proposed subgrant project contents vis-à-vis the quality of impacts measurable and/or observable that is expected under this grant. Finally the Prioritization Criteria will allow for the determination of candidates that fit best within the requirements of the grant in terms of meeting the objectives of this component within the given time frame. The selection criteria are presented at the end of this document.

3.2 Selection Schedule

Selection process will follow the schedule below.

Steps	Dates
Proposals are accepted	October 1 – November 18, 2015
Short-listed applicants are contacted for site visit arrangements	Early December 2015
Site visits for final selection take place	Mid-December 2015
Notifications of the selection results are sent	Early January 2016
Selected applicants develop and submit the project workplans to the Executing Agency	End of January, 2016
Grant agreements are signed	February 2016

4. After the Subgrant Projects are selected

4.1 Grant Agreement

The selected applicants will be signing grant agreements with CI Japan, after completing the CI-mandatory security screening and financial questionnaire. The full budget and workplan will be attached to the grant agreement.

4.2 Use of the Indicators of Resilience

The proponents of the subgrant projects are expected to use the Indicators of Resilience (<http://satoyama-initiative.org/wp/wp-content/uploads/2014/11/TOOLKIT-X-WEB.pdf>) to document the baseline conditions of the project site and to monitor the changes, where appropriate. Representative(s) will be invited to a training session (place and schedule to be announced), at which they will be trained in the use of these indicators.

4.3 Reporting to the Executing Agency

Quarterly and annual project implementation reports will be required. The proponents of the subgrant projects will be required to submit technical and financial report quarterly in a simplified format to be provided. A more detailed report will be required for annual project implementation reports.

4.5 Monitoring and Evaluation

Members of the Executing Agency will visit each subgrant project site annually for monitoring and evaluation purposes. Proponents of the subgrant projects are requested to assist in the logistical arrangement. Project progress will be assessed based on the reports submitted and site visits, and adjustments may be required accordingly.

Inquiries

All inquiries should be submitted by email to the GEF-Satoyama Project Secretariat at GEF-Satoyama@conservation.or.jp. Phone and postal mailing should be used only for exceptional circumstances.

Reference Documents

The following reference materials are available through the links provided in the Call for Proposals webpage

(<http://www.conservation.org/global/japan/Pages/GEFSatoyama2015.aspx>).

- Link to the Project Document
- Environmental and Social Management Framework
- Grievance Mechanism
- Link to Satoyama Initiative

Mainstreaming Biodiversity Conservation and Sustainable Management in Priority Socio-ecological Production Landscapes and Seascapes

Shorthand name:	GEF-Satoyama Project
Project Duration:	September 1, 2015 – June 30, 2019 (46 months)
GEF Project Agency:	Conservation International
Executing Agencies:	Conservation International Japan (CI Japan; lead), with United Nations University Institute for the Advanced Study of Sustainability (UNU-IAS) and Institute for Global Environmental Strategies (IGES)
Funding:	GEF: USD1,909,000 / Co-financing: USD6,350,000

I. Project Vision

Society in harmony with nature, with sustainable primary production sector based on traditional and modern wisdom, and making significant contributions to global targets for conservation of biological diversity.

II. Project Objective

To mainstream conservation and sustainable use of biodiversity and ecosystem services, while improving human well-being in production landscapes and seascapes.

III. Project Components

The Project is consisted of the following interrelated, mutually-informing components.

Component 1: “On-the-ground demonstration”. Enhancing livelihood, conservation and sustainable use of biodiversity and ecosystem services through investing in demonstration projects (Lead: CI Japan)

Outcome 1.1: Effective conservation management in selected priority production landscapes and seascapes achieved.

Outcome 1.2: Site-level conservation status of globally threatened species improved.

Outcome 1.3: Traditional knowledge benefiting and being protected in conservation measures.

Component 2: “Knowledge generation”. Improving knowledge generation to increase understanding, raise awareness and promote mainstreaming biodiversity in production landscapes and seascapes (Lead: IGES)

Outcome 2.1: Global knowledge on “socio-ecological production landscapes and seascapes” (SEPLS) for mainstreaming biodiversity conservation and sustainable use into primary production landscapes and seascapes enhanced.

Component 3: “Capacity-building workshops and trainings”. Improving inter-sectoral collaboration and capacities for maintaining, restoring and revitalizing social and ecological values in priority SEPLS (Lead: UNU-IAS)

Outcome 3.1: Capacity of multi-sectoral stakeholders, including national and international decision-makers, practitioners and under-represented groups, to collaborate and mainstream biodiversity conservation and sustainable management increased.

IV. Compliance, Monitoring and Evaluation

The Project will remain compliant with CI-GEF Project Agency’s Environmental and Social Management Framework, including the Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan, and follow the Monitoring and Evaluation Plan.

Annex 2

List of project selection criteria

■ Eligibility criteria
Applicants satisfying the following conditions are eligible to apply.
<i>The applicant must:</i>
<ol style="list-style-type: none">1. Be a legally registered entities and able to enter into a grant agreement with CI Japan2. Be capable of taking the lead and be responsible for the overall project management and reporting3. Be a Civil Society Organization, private sector entity, government entity or other types of entity, provided the entity commit to comply with the reporting requirements of the GEF-Satoyama Project4. Demonstrated sufficient institutional capacity and financial systems to implement the proposed subgrant project; e.g. robust institutional structure, competent human resources and convincing results from precedent projects5. Demonstrate at least the same amount of own funds as the amount requested (1 to 1 co-financing) for the implementation of the proposed subgrant project6. The applicant is not a member of or affiliated to a member of the Executive Team⁶ of the GEF-Satoyama Project7. Be capable of communicating in English Language
Any applicant that makes an unequivocally false presentation of him/herself or his/her organization will be disregarded
<i>The subgrant project must:</i>
<ol style="list-style-type: none">1. Be implemented within the Indo-Burma Biodiversity Hotspot2. Focus primarily on mainstreaming conservation and sustainable use of biodiversity and ecosystem services resulting in improved human wellbeing, through:<ul style="list-style-type: none">- Conserving, maintaining or revitalizing traditional sustainable practices, threatened species and/or sites of global significance for biodiversity conservation;- Restoring degraded production landscapes and/or seascapes; and/or- Implementing livelihood alternatives, e.g. sustainable agricultural, fisheries, or forestry production techniques for the sustainable use of terrestrial, freshwater or marine systems (or a combination of these)3. Be capable of achieving its goals within 3 years4. Be accompanied by a grant request within the range of USD50,000 to USD100,000

⁶ CI Japan, UNU-IAS, IGES

<p>■ Screening criteria</p>
<p>The GEF-Satoyama Project will evaluate project proposals according to the following criteria.</p>
<p><i>A. Relevance</i></p>
<ol style="list-style-type: none"> 1. The contents of the proposed subgrant project demonstrate a high relevance to enhancement of conservation and sustainable use of biodiversity and ecosystem services in production landscapes and seascapes through: <ol style="list-style-type: none"> 1.1. Contribution to improving local livelihoods and engaging local communities including indigenous peoples, women and other vulnerable groups, and drawing from traditional knowledge (relevance to the local needs), <i>and</i> 1.2. Contribution to mainstreaming the conservation and sustainable use of biodiversity in sectoral, land use and/or development policies and plans (relevance to the policies) 2. The proposed subgrant project is synergized with the goals and objectives of the National Biodiversity Strategy and Action Plan (NBSAP) of the country in which the proposed subgrant project will take place, and demonstrates clear contribution to the achievement of global goals, such as Aichi Biodiversity Targets under the Convention on Biological Diversity and United Nations Sustainable Development Goals (SDGs). 3. The proposed subgrant project is likely to foster good practices, and to provide lessons useful for other organizations and local communities. 4. The proposed subgrant project demonstrates and seeks to address present and potential threats faced by SEPLS
<p><i>B. Expected Impact</i></p>
<ol style="list-style-type: none"> 5. The applicant fully identifies and understands the threat/threats at hand, proposes concrete strategies/plans to address them, outlines the expected outcomes and outputs of the project, and defines the process and mechanisms for promoting key stakeholders' engagement in the project implementation 6. The proposed subgrant project demonstrates cost effectiveness through coordination with existing and new initiatives by other organizations 7. The project proposal intends to make broader impact on the environment and human wellbeing beyond the project's spatial and temporal scope, such as policy enactment/improvement or knowledge generation (at any level).
<p><i>C. Feasibility</i></p>
<ol style="list-style-type: none"> 8. The proposal presents realistic activities and implementation plans for achieving outputs within 3 years (36 months) 9. The project proposal demonstrates appropriate implementation capacity, with detailed institutional roles and modalities 10. The project proposal demonstrates a reliable financial plan
<p><i>D. Sustainability and Social and Environmental Safeguards</i></p>
<ol style="list-style-type: none"> 11. The implementing organization has properly identified measures for mitigating possible risks that may emerge in the project implementation process <ol style="list-style-type: none"> 11.1. The applicant provides assurance that involuntary resettlement will not occur as a result of the funded activities 11.2. The applicant is committed to implementing appropriate safeguard mechanisms; especially for engagement of indigenous peoples, relevant stakeholders, and gender mainstreaming (specific measures will be determined through the safeguard analysis to take place after the selection) 12. There is commitment to follow the project's Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan 13. The project proposal intends to establish self-reliant operating mechanisms for the continuation of project activities, and/or the activities promoted under the project are likely to generate a positive knock-on effect after the cessation of the subgrant project

<p>■ Prioritization criteria</p> <p>The selection will give priority to projects fulfilling the following.</p> <p>A. Thematic priority</p> <p>14. The proposed subgrant project contributes to assessing, utilizing and enhancing Traditional Knowledge related to SEPLS management and natural resource use, and demonstrates an ability to fill knowledge gaps at global level, with particular consideration for those held and managed by women</p> <p>15. The proposed subgrant project focuses on threatened species and/or sites demonstrating global biodiversity significance</p> <p>16. The proposed subgrant project demonstrates innovation in the suggested approaches/activities</p> <p>17. The proposed subgrant project aims to engage private sector actors</p> <p>B. Country Ownership and Drivenness</p> <p>18. The proposed subgrant project has to be in line with key country strategies, such as NBSAPs. Involvement of national and local stakeholders is important. It is preferable that the applicant have already nurtured the relationship with the responsible government entities.</p>
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<p>■ Portfolio criteria</p> <p>These criteria will not be applied to individual subgrant projects, but be applied to the set of all subgrant projects from three Biodiversity Hotspots collectively.</p> <p>19. The overall portfolio of selected sites will be designed to provide maximum demonstration value through a within-set diversity of global distribution, ecosystem types, threats and intervention types.</p> <p>20. Subgrant projects collectively are expected to achieve tangible outcomes including:</p> <ul style="list-style-type: none"> • Achieving effective conservation management in production landscapes and/or seascapes in at least 60,000 ha directly and indirectly; • Improving site-level conservation status of at least 20 globally threatened species; and • Traditional knowledge benefiting and being protected in conservation measures.
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Project Proposal Application Form GEF-Satoyama Project

SECTION A: General Information of the proposed subgrant project

1. Title of Project (Please make it descriptive but concise)

2. Project Location (*Country, State/Province/City*) and provide a map of the subgrant project site

3. Project Duration (start month, year – end month, year)

4. Summary of the Project (*Please summarize the project in 200-250 words, including the objectives, methodology, issues to be addressed, targets of the project, and the expected outputs of the proposed project. Emphasize the relevance and/or contribution to socio-ecological production landscapes or seascapes, keeping in mind the three-fold approach of the Satoyama Initiative¹.)*

5. Number of beneficiaries

a) Number of persons to whom the project will provide benefit *directly*

persons

Please describe how this number was estimated

b) Number of persons who might receive benefit from the project *indirectly*

persons

Please describe how this number was estimated

6. Size of the Project Area (area the project *directly* influence)

hectares

Please describe how it was determined

7. Size of the area benefiting from the project (area that *indirectly* benefit

¹ <http://satoyama-initiative.org/en/about/#3.2>

from the activities in the project site above)

hectares

Please describe how it was determined

8. IUCN threatened species (www.iucnredlist.org) known to occur that will benefit or impacted by the project activities (*if applicable*). If the IUCN Red List is not up to date, provide information on nationally protected species.

9. If the proposed subgrant project site itself or area near it has been recognized as a site of global significance for biodiversity conservation (see the Call for Proposals for definition), please describe (name and size of the site).

10. Implementation Capacity: Please outline the staff allocations for the proposed project in the table below.

Implementation arrangement within the organization			
Title	Name	Experience (years)	Role in the proposed project

11. Key project partners; organizations, experts, etc. (if relevant)

SECTION B: Strategy of Proposed Project

1. Background (*This may include the social/economic/environmental state and trend in the areas where the project is proposed, describe the benefits people receive from biodiversity and ecosystems in the area, identify the threats and challenges the area faces (social and environmental drivers of loss or deterioration of biodiversity and ecosystem services), and elaborate on how the proposed project can change the current situation.*) (Max. 500 words)

2. Objective: Please describe as clearly and specific as possible the objective of the proposed project. Please do not write more than 3 sentences.

3. Please describe the intended outcomes and outputs, as well as the indicators used to monitor the progress and achievements in the template provided on the next page (See the definitions below in the template as a guide regarding the type of information to provide). Please feel free to add components as necessary.

Subgrant Project Results Framework

Components	Key activities	Outcomes
Component 1:	Activity 1: Activity 2:	Outcome 1: Outcome 2:
Component 2:		

Guides for completing the Subgrant Project Results Framework (delete before submission)

- **Components:** components are sub-sections of a project. They are used to group issues within a project into smaller and manageable parts in terms of size, duration, and responsibility (e.g., systems, subsystems, components, tasks, sub-tasks, and work packages), which include all steps necessary to achieve the objective.
- **Outcomes:** the intended or achieved short and medium term effects of an intervention’s outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact. Outcomes respond to the question of “what are the short and medium term impacts or results of the project?” There can be several outcomes for each component.
- **Outputs:** the products and services which result from the completion of activities within a development intervention. Outputs respond to the questions of “what does the project do? And who does the project reach/benefit?” There can be several outputs for each outcome. Outputs need to be quantified whenever possible (hectares, percentage of coverage, number of staff trained, number of participants, etc.).
- **Indicators:** measurable entities related to a specific information need, such as the status of a target, change in a pressure, or progress towards achieving an objective, outcome and/or output. By identifying indicators the project can develop a rigorous monitoring plan, evaluate the program’s responses and progress towards success, and provide for adaptive management. Indicators should be measurable, precise, consistent, and sensitive.
- *Feel free to add more Components, Outcomes and Indicators if necessary.*

4. Please provide the schedule of key activities under each component.

Implementation Schedule²

Year/month Components/key activities	Year 1 (2016-7)												Year 2 (2017-8)												Year 3 (2018-9)											
	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	1	2	3
Component 1 Key activity 1 (describe)																																				
Key activity 2 (describe)																																				
Component 2 Key activity 1 (describe)																																				
Key activity 2 (describe)																																				

※Please indicate the activity durations by shading the boxes. Feel free to add rows for more activities, if necessary.

※In the notation of the months, 4: April, 5: May, ... 12: December, ... 3: March.

² The project does not necessarily have to run for three years. It can be shorter than three years.

5. List up to five potential/anticipated risks/challenges in achieving the outcomes and outputs described above, and describe how you intend to mitigate the negative impact.

Risk	Level (low-medium-high)	Mitigation Strategy
		•
		•
		•
		•
		•

6. Key Features of the Project

Please elaborate on key features of the project with respect to the following aspects:

- a. In what way is the proposed project aligned with the NBSAP of the country where it will be implemented, global targets such as Aichi Biodiversity Targets and SDGs?

- b. How can the project make contribution to mainstreaming the conservation and sustainable use of biodiversity in specific sectoral, land use and/or development policies and plans?

- c. How can the long-term sustainability of the project impact be secured?

- d. What kind of innovativeness and/or lessons can be demonstrated by the project?

- e. What measures will the proposed project take for effective stakeholder engagement, including particularly to mainstream gender considerations?

- f. Where applicable, how will the proposed project have indigenous and local knowledge or traditional knowledge (ILK/TK) benefit conservation and sustainable use of biodiversity

SECTION C: Budget Summary

1. Amount of funds requested (to be between USD50,000 and 100,000)
 USD

2. Please provide the budget summary in the table below in US Dollars. (If selected, a full budget must be provided in the template to be provided.)

Categories	Year 1	Year 2	Year 3
	(Month, Year – Month, Year)	(Month, Year – Month, Year)	(Month, Year – Month, Year)
Personnel salaries and benefits			
Professional services			
Travel and Accommodations			
Grants and Agreements			
Equipment			
Indirect cost ^{a)}			
Total			
Grand total			

^{a)} Indirect costs can be collected by the proposed project up to 15% of the total project cost only if there are documented policies. Otherwise, miscellaneous direct expenses with receipts can be counted up to 15% of the total project cost.

3. Co-financing

Please provide the amounts, sources and types of co-financing using the table below. (Note: if selected, commitment letters from each source must be provided to the Executing Agency—not required at the time of application)

<u>Name of Co-Financier</u>	<u>Amount</u>	<u>Cash/In-Kind</u>

Co-financing is defined as resources that are additional to the funding the GEF-Satoyama Project provides and that are provided by the subgrant project proponent itself and/or by other non-GEF sources that support the implementation of the project financed by the GEF-Satoyama Project and the achievement of its objectives.

SECTION D: Safeguards

GEF-Satoyama Project will not fund projects that cause significant impact to critical natural habitat nor results in involuntary resettlement of residents.

Does the proposed project:

1. Cause significant negative impact on critical natural habitats (including unsustainable harvesting, introduction of potentially invasive species)?
Yes/No
2. Involuntary resettlement of residents? **Yes/No**

Once selected, proponents will undergo safeguard analysis to identify necessary safeguard measures. CI-GEF Project Agency's Environmental and Social Management Framework covers policies for 1) environmental and social impact assessment, 2) involuntary resettlement, 3) protection of natural habitats, 4) indigenous peoples, 5) physical cultural resource, 6) pest management, 7) accountability and grievance, 8) gender mainstreaming, and 9) stakeholder engagement

(<http://www.conservation.org/about/Pages/CI-GEF-project-agency-resources.aspx>). For example, if the project involves Indigenous Peoples, the development and implementation of an Indigenous Peoples Plan might be required.

SECTION E: Information on the Organization

1. Please provide the information of the applicant in the form below. Also, please provide a document that describes the foundation of the organization, such as the organization's charter, by-law, and article of incorporation.

Name of the organization		Representative of the organization (title and name):	
Address of the main office	TEL: FAX: Email:		
Type of organization	Civil Society Organizations / Private Sector / Government / Other (please specify)		
Established:	YYYY/MM/DD		
Staff	Permanent staff __persons	Temporary staff __persons	
History of the organization			
Vision/Mission or Mandate of the organization			
Legal status of the organization	Legally registered (please provide the foundation document) / Not registered		
Financial Summary of the three most recent fiscal years			
	Most recent fiscal year	Previous fiscal year	Fiscal year before
Gross revenue	USD	USD	USD
Gross expenditure	USD	USD	USD
Website of the organization	http://....		
Focal point of communication	Mailing Address Name TEL: FAX: E-mail:		

2. Please list up to five projects relevant to the theme of the GEF-Satoyama Project which the applicant has conducted in the past 5 years or is currently conducting.

Project name	Year	Donor	Budget (USD)	Description (highlight the relevance)

EVALUATION CRITERIA		SCORE
Relevance		0.285714286
1	The contents of the proposed subgrant project demonstrate a high relevance to enhancement of conservation and sustainable use of biodiversity Contribution to improving local livelihoods and engaging local communities including indigenous peoples, women and other vulnerable groups, and drawing from traditional knowledge Contribution to mainstreaming the conservation and sustainable use of biodiversity in sectoral, land use and/or development policies and plans	5
2	The proposed subgrant project is synergized with the goals and objectives of the National Biodiversity Strategy and Action Plan (NBSAP) of the country in which the proposed subgrant project will take place, and demonstrates clear contribution to the achievement of global goals,	5
3	The proposed subgrant project is likely to foster good practices, and to provide lessons useful for the proposed subgrant project and local communities	5
4	The proposed subgrant project demonstrates and seeks to address present and potential threats faced by CEPIS	5
Subtotal		5
Expected Impact		0.142857143
5	The applicant fully identifies and understands the threat/threats at hand, proposes concrete strategies/plans to address them, outlines the expected outcomes and outputs of the project, and defines the process and mechanisms for	5
6	The proposed subgrant project demonstrates cost effectiveness through coordination with existing and new initiatives by other organizations	5
7	The project proposal intends to make broader impact on the environment and human wellbeing beyond the project's spatial and temporal scope, such as policy enactment/improvement or	5
Subtotal		5
Feasibility		0.142857143
8	The proposal presents realistic activities and implementation plans for achieving outputs within the project (26 months)	5
9	The project proposal demonstrates appropriate implementation capacity, with detailed institutional proposal and responsibilities	5
10	The project proposal demonstrates a reliable financial plan	5
Subtotal		5
Sustainability and Social and Environmental		0.142857143

11	<p>The implementing organization has properly identified measures for mitigating possible risks that may emerge in the project implementation process.</p> <p>The applicant provides assurance that involuntary resettlement will not occur as a result of the funded activities.</p> <p>The applicant is committed to implementing appropriate safeguard mechanisms; especially for engagement of indigenous peoples, relevant</p>	5
12	<p>There is commitment to follow the project's Stakeholder Engagement Plan and Gender Mainstreaming Strategy and Action Plan.</p>	5
13	<p>The project proposal intends to establish self-reliant operating mechanisms for the continuation of project activities, and/or the activities promoted under the project are likely to generate a positive</p>	5
Subtotal		5
Thematic Priority		0.142857143
15	<p>The proposed subgrant project contributes to assessing, utilizing and enhancing Traditional Knowledge related to SEPLS management and natural resource use, and demonstrates an ability to fill knowledge gaps at global level, with</p>	5
16	<p>threatened species and/or sites demonstrating global biodiversity significance.</p>	5
17	<p>The proposed subgrant project demonstrates innovation in the suggested approaches/activities.</p>	5
18	<p>The proposed subgrant project aims to engage private sector actors.</p>	5
Subtotal		5
Country Ownership and Drivenness		0.142857143
19	<p>The proposed subgrant project has to be in line with key country strategies, such as NBSAPs. Involvement of national and local stakeholders is important. It is preferable that the applicant have</p>	5
Subtotal		5
Total Score		30

GEF-SATOYAMA PROJECT
SCHEDULE OF MEETINGS

Executive Unit

- ❖ **May-June**
 - Purpose: To approve next year's budget and workplan and to review draft annual report
 - Mode: In person

- ❖ **July (20-25)**
 - Purpose: To approve past year's report
 - Mode: In person

Non-regular meetings may be called for to respond to unplanned incidences that require decisions at the discretion of the chair¹ (either in person or email based).

Working Unit

- ❖ **July (10-20)**
 - Purpose: 1) To review past quarter's activities, discuss schedule for next quarter based on ongoing annual workplan, and report on progress by the Component leads: Component 1 (CIJ), Component 2 (IGES) and Component 3 (UNU-IAS)—production of the quarterly report (financial report may be tentative); and 2) To finalize the annual report for approval by the Executive Unit (financial report may be tentative).
 - Mode: In person

- ❖ **October (20-25)**
 - Purpose: To review past quarter's activities, discuss schedule for next quarter based on ongoing annual workplan, and report on progress by the Component leads: Component 1 (CIJ), Component 2 (IGES) and Component 3 (UNU-IAS)—production of quarterly report.
 - Mode: In person

- ❖ **January (20-25)**
 - Purpose: To review past quarter's activities, discuss schedule for next quarter based on ongoing annual workplan, and report on progress by the Component leads: Component 1 (CIJ), Component 2 (IGES) and Component 3 (UNU-IAS)—production of quarterly report.
 - Mode: In person

- ❖ **April (20-25)**
 - Purpose: To review past quarter's activities, discuss schedule for next quarter based on ongoing annual workplan, and report on progress by the Component leads: Component 1 (CIJ), Component 2 (IGES) and Component 3 (UNU-IAS)—production of quarterly report; 2) To discuss the workplan and budget for the next year; and 3) To produce draft annual report of the current year.
 - Mode: In person

Non-regular meetings may be called for to discuss any issues of interest and relevance to the project at the discretion of the chair² (either in person or email based).

¹ may be due to a recommendation from the Working Unit or due to an emergency

² may be due to a request from a member of the Working Unit or due to an emergency

CI-GEF Project Agency Procurement Guidelines

Last update : Nov 12, 2015

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1) SCOPE OF APPLICATION

Programs funded by the Global Environment Facility through the CI-GEF Project Agency.

2) PURPOSE OF GUIDELINES

The Procurement Guidelines set forth CI's policies, procedures and standards for those purchases of goods, works and services funded by CI-GEF projects so that the purchases are carried out in a sound and consistent manner with due consideration of economy and efficiency.

Sound procurement is characterized by the following standards:

- A competitive procurement environment, including both international and local competition as appropriate
- Impartial selection process based strictly on principle of cost and the merits of a bidder's proposal
- Fairness, integrity and transparency
- Purchases made in the best interests of CI and the Global Environment Facility
- Funds are used for intended purposes
- Quality goods, works and services delivered at the time and place required
- Responsible and reliable suppliers/providers
- Maximum value for all expenditures
- Well-documented selection process

Procurement is the overall process of purchasing goods, works and/or services. This includes all steps from the identification of needs, solicitation and selection of suppliers, award of contract, and contract administration and close out. The guidelines provide guidance on each phase of the procurement process.

3) **DEFINITIONS**

Throughout this manual, the following terms will be used to refer to the various participants in the procurement process. These terms do not necessarily reflect the individual's position/title within the organization, but rather his/her role in the overall procurement process. To ensure a fair and impartial process, these functions should be carried out by different individuals to the extent possible (although the buyer and/or purchasing officer may serve as one of several members of the selection panel).

CI-GEF Project Agency: CI's dedicated team named CI-GEF Project Agency that works directly with the GEF Secretariat and Trustee to oversee the preparation and implementation of GEF-financed projects. The CI-GEF Project Agency has oversight of compliance with the Guidelines and will monitor procurement actions by Executing Entities through the review of financial reports, sampling, annual project audits reports and site visits.

Executing Agency: The Executing Agency is the organization responsible for carrying out a CI-GEF Project, including all procurement related to the project.

Buyer: The individual or business unit within the Executing Agency initiating the procurement request for specific goods, works or services, and that will manage the awarded contract on behalf of the Executing Agency.

Purchasing Officer: The Purchasing Officer is the individual within the Executing Agency responsible for conducting the procurement process on behalf of the buyer. He/she reviews the purchase request, coordinates with the Buyer to select an appropriate procurement method based on the size, complexity and appropriate market (local or international) of the procurement and implements the procurement process from the solicitation of quotes/bids through contract award. The responsibilities of this individual are described throughout the manual and summarized in more detail in Annex 1.

Selection Panel: The individuals who evaluate the quotes/proposals received in relation to the stated evaluation criteria included in the solicitation documents. Selection Panel should consist of a minimum of three (3) employees from the Executing Agency.

4) **GENERAL CONSIDERATIONS AND PRINCIPLES**

4.1 STANDARDS OF CONDUCT

All persons mandated by the Executing Agency to be involved in the procurement process are responsible for protecting the integrity of the process and ensuring that all bidders/vendors/service providers are treated on a fair and impartial basis.

During the life of the project, the Executing Agency staff will abide by CI's following policies that address standards of conduct :

- CI's Code of Ethics Policy
- CI's Anti-Bribery and Anti-Corruption Policy
- CI-GEF Project Agency Ethics Standards

These policies are public and accessible on the CI-GEF Project Agency resources web page at the following link <http://www.conservation.org/about/Pages/CI-GEF-project-agency-resources.aspx>. If, for any reason, partners would face difficulties to access this document, please address a direct request to cigef@conservation.org for a copy of the document.

The Executing Agency will follow at any time the policies and requirements stated in the grant agreement and for the procurement process will pay attention to the provision under the section 6 of the external grant agreement which focus on :

- Use of funds
- Anti-fraud
- Conflict of interest
- Anti-Bribery and Anti-Corruption

All parties involved in the procurement process will conduct themselves in a manner above suspicion of unethical behavior and avoid conflicts of interest, or even the appearance of conflicts of interest in all supplier relationships.

Any questionable or unethical behavior should be reported through one of the following methods: 1) to CI's Office of General Counsel via email at asmith@conservation.org or phone at 703-341-2411, or 2) anonymously through the EthicsPoint Hotline at https://secure.ethicspoint.com/domain/en/default_reporter.asp

4.2 ASSESSEMENT OF THE EXECUTING AGENCY PROCUREMENT PROCESS BY THE CI-GEF PROJECT AGENCY

Prior to awarding a grant, the CI-GEF Project Agency uses an assessment tool completed for external partners with a financial questionnaire to evaluate the organizational level of potential Executing Agencies. These tools include the EA's procurement policy and procedures and provide information to evaluate the Executing Agency's ability to carry out project procurement consistent with the Guidelines. The GEF Agency may condition funding of goods, works and/or services on the implementation of certain procedures to ensure compliance with procurement requirements.

4.3 MONITORING OF PROCUREMENT PERFORMANCE OF EXECUTING AGENCY

Compliance with the procurement policies and procedures in the Guidelines is monitored through project supervision by the CI-GEF Project Agency (quarterly reports, desks review, and supervision field's visits) and annual project audits. The GEF Agency requires that the Executing Agency submit its procurement plan for review and prior approval, conduct an external annual audit and will require in the Audit Terms of Reference that the auditor determine compliance with procurement policies and procedures. CI reserves the right to request reimbursement for the amount of any contract that has not been awarded in conformity with this manual.

4.4 PRIOR APPROVALS REQUIRED FROM THE CI GEF PROJECT AGENCY DURING THE PROCUREMENT PROCESS

Executing Agency shall request PRIOR approval in writing from the CI-GEF project Agency for the following:

- PRIOR to implement the Yearly Procurement Plan
- PRIOR to procure through Limited Competition or sole-sourced procurement for any purchase over \$5,000 USD
- PRIOR to contract for any purchase over \$5,000 USD

Requests have to be addressed to the CI-GEF Project Agency by email at cigef@conservation.org.

approval for processing to a Limited competition or sole-sourced procurement	Email explaining the reason for a sole-sourced /targeted procurement process – template annex 3
At the end of the procurement process before contracted with the vendor selected (purchase above \$5,000)	Email including the following documents : <ul style="list-style-type: none"> - The RFQ / RFP - The quotations / proposals received - A table documenting the selection process (where the request has been posted, quotes / proposals matched against criteria and conclusion). A template is proposed in annex 2
Yearly procurement plan	This is included in the annual budget planning package

5) PROCUREMENT PLANNING

As part of the project annual planning activity, a Procurement Plan will be submitted along the annual Project Budget and workplan for review and approval by the CI-GEF Project Agency. The template is made available by the CI-GEF project Agency as part of the annual planning package. The Procurement Plan should list any procurement with a unit price equal or over \$5,000 and must identify the following for each of them:

- Type of Procurement (goods/services/equipment)
- Description of goods, works or services to be procured
- Procurement/selection method
- Type of competition
- Date needed
- Budgeted Amount

Procurement planning is key to the timely and cost-effective delivery of goods, works and services. The planning phase should start well in advance of the date of expected delivery of the product/service to allow sufficient time to solicit and evaluate bids or proposals and make the contract award. The planning process includes the following elements:

- Identification of goods, works and services required
- Selection of the appropriate procurement method from among those in this manual
- Development of specifications/scope of work with adequate detail including delivery conditions
- Preparation of a budget for items to be procured
- Development of evaluation criteria
- Selection of a method of procurement

Lease vs. Buy Analysis: Where appropriate, particularly for equipment over \$5,000, an analysis must be made of lease and purchase alternatives to determine which would be the most economical and practical means of obtaining the required goods.

6) PROCUREMENT PROCESS

6.1 IDENTIFICATION OF GOODS/SERVICES

Once the Project has identified a need for goods, works and/or services, the following information, as applicable, should be provided by the Buyer to the Purchasing Officer:

- A brief statement of nature and purpose of procurement
- Estimated cost and budget line related to this procurement
- A clear and adequate specification or statement of work, including quantity and unit of measure
- Required delivery or performance schedules that are realistic and specific
- Quality requirements and inspection methods
- Packing and transportation requirements
- Supply status and known sources
- Additional elements as necessary (justification for non-competitive procurement, source and origin of product or service, special conditions, etc.)

For the procurement of goods, works and non-consulting services, specifications must list performance requirements or salient characteristics as well as appropriate nomenclature. Specifications cannot include make, model, or brand.

For the procurement of consulting services¹, a Statement of Work (also called Terms of Reference) should include the following:

- Background information on the program funding the services
- Objective of the services
- Description of tasks/activities
- Required reports/deliverables
- Estimated effort required or an indicative budget
- Period of performance providing time for review and approval of final deliverables
- Minimum and desired qualifications of service providers
- Description of how performance will be monitored and evaluated

Executing Agency should follow its own internal review process, signature authority, and record keeping policies for contracting of consultants.

Once the need for particular goods, works or services has been identified, the Buyer in collaboration with the Purchasing Officer will decide on a method of procurement. Depending on the nature, size, complexity and appropriate market (local or international) for obtaining the required goods, works or services, the sourcing of suppliers and the procurement methods will differ following these present guidelines.

¹Consulting services are intellectual and advisory in nature; for non-consulting services physical aspects predominate and a measurable output results (e.g. satellite imagery, aerial photography, mapping). The process and documentation for obtaining non-consulting services follow those for the purchase of goods and works with appropriate adaptations.

6.2 SOURCING OF SUPPLIERS

The Purchasing Officer is responsible for conducting and documenting price comparisons for items purchased by the Executing Agency.

Considerations in selecting suppliers:

- Assess technical and business reputation of supplier
- Past performance (previous experience & references)
- Input from Buyer
- Recommendations from external sources
- Internet, trade fairs, catalogues, trade journals, sales literature, phone directories
- Professional associations
- Contract with sales representatives

Solicitation of suppliers should be as broad and practical as possible. All suppliers should be given the same information including that which may be shared in response to inquiries about the solicitation. The preferred method for selection will be based on competition.

Open Competition allows all suppliers wishing to bid/offer to be provided with an opportunity to do so if supplier meets requirements.

Limited Competition narrows competition to a shortlist of bidders selected in an impartial manner by the Buyer in coordinating with the Purchasing Officer either from rosters, market research, expressions of interest, etc. Limited Competition is appropriate where open competition is unsuitable, an urgent need exists, or the global market has a limited availability of the required goods or services.

Before procuring through Limited Competition, Executing Agency must receive prior approval by the GEF Agency for purchases greater than or equal to USD 5,000.

Sole sourced procurement (exception to competition)

On an exceptional basis, it may be necessary to contract directly with a supplier rather than obtain several price quotations or proposals through open or limited competition. Possible justifications for waiving the requirement for competition include:

- Item/service is available from only one source.
- Public exigency or emergency for requirement will not permit delay resulting from competitive solicitation (especially response to disasters).
- Compelling need for continuity.

The rationale for sole source bidding must be documented in writing prior to the beginning the bidding process. Justification should include an explanation of why competitive bidding is not the best option, a defensible explanation, including analysis of costs, that the cost is reasonable and within market rates, a description of the nature of prior services contracted from the supplier of, the urgency of the situation and any other information that supports the selection.

Before sole-sourced procurement, Executing Agency must receive prior approval by the GEF Agency for purchase greater than or equal to USD 5,000.

6.3 PROCUREMENT METHOD & DOCUMENTATION

USD Amount	Procurement Method	Requirements (Documentation and archiving)
<i>Local or International Open Competition</i>		
less than \$2,000	Simplified Procurement	no price analysis required
\$2,000 to \$4,999	Simplified Procurement:	research multiple vendors, but no requirement to document in writing
\$5,000 to \$14,999	Simplified Procurement:	document three price quotes from phone, email, internet research, etc. and document selection The procurement process must be reviewed and receive written approval by GEF Project Agency
\$15,000 to \$99,999	Request for Quote:	solicit minimum of three written price quotes and document selection The full procurement package must be reviewed and receive written approval by GEF Project Agency
\$100,000 to \$250,000	Request for Proposal:	Write and publish a Request for Proposal (RFP) and receive minimum of three bids (which must include detailed pricing and a narrative explanation) and document The full procurement package must be reviewed and receive written approval by GEF Project Agency
<i>International Open Competition</i>		
greater than \$250,000	International Competition	Above \$250 000 Request for Proposal have to be opened to international competition. Write and publish a Request for Proposal (RFP) on the EA website, CI-GEF Agency Resources Page, in international newspapers or publications to ensure competition. Executing Agency must receive a minimum of three bids (which must include detailed pricing and a narrative explanation) and document selection Prior to engaging in an agreement or contract with a supplier of goods or services, the full procurement package must be reviewed and receive written approval by GEF Project Agency

All bids/proposals, with a justification of why a specific vendor was chosen, should be filed with the documentation for the actual purchase. Executing Agency must maintain and retain records documenting the procurement process for 3 years after the project implementation grant expiration date.

Simplified procurement : generally appropriate for standard off-the-shelf items readily available at competitive prices.

Request for Quote (RFQ) : An RFQ generally includes a request for item/service description/specifications, price and other commercial terms and conditions related to the procurement. A minimum of 3 written quotes should be received from qualified and responsive offers. The selection should be made based on the product/service offering the best value and should be documented.

Request for Proposal (RFP) A RFP is recommended for all contracts over \$100,000, especially for those products or services with complex requirements. An RFP generally requires the bidder to submit a detailed technical proposal describing how it proposes to meet the stated requirements and a detailed cost estimate. RFPs should be published to allow the widest distribution and maximum competition and should provide the bidders with adequate time to respond (anywhere from two to six weeks). A minimum of 3 responsive bids should be received. Selection should be made to ensure best value by an impartial selection committee based on the evaluation criteria included in the RFP.

Price Analysis and Cost Analysis

Price analysis may be accomplished by obtaining verbal quotations by telephone, conducting web searches, comparing catalogue prices, comparing advertised specials, and inviting written bids. The appropriateness of each method depends upon the estimated cost of the purchase and the procurement thresholds provided in this manual. When cost analysis is required, each element of cost must be reviewed and evaluated to determine reasonableness and transparency.

6.4 PROCUREMENT PROCESS FOR REQUEST FOR QUOTE AND ABOVE

If the contract value requires a Request for Quote, Request for proposal or international competition (see definition in section 6.3), clear, complete and comprehensive solicitation documents must be developed to obtain responsive offers that can be easily compared and evaluated. The Buyer is responsible for preparing the solicitation in coordination with the Purchasing Officer.

Although the level of detail and complexity will vary, the following information should at a minimum include:

- Solicitation Title, Date of Issuance, Due date/time
- Information on minimum qualifications/eligibility requirements
- Technical Specifications/Scope of Work including deliverables/reporting
- Instructions for completing and submitting a response
- Proposed Contract Type
- General and Special Contract Terms and Conditions
- Fair and non-discriminatory evaluation criteria

The instructions should be written in a clear and concise manner and include all information that will help the bidders prepare bids that are clear, complete and comprehensive. Below is a list of the type of information to include depending on the complexity of the procurement

- **Date and Time of Submission:** The amount of time provided for the preparation and submission of bids varies depending on the nature and complexity of the procurement. Bidders are generally provided anywhere from two to six weeks.
- A request to acknowledge receipt and inform on whether a proposal will be submitted. Procedures related to the rejection of offers (late submission, non-responsive submission, missing documentation, etc.)
- For limited local and international bidding, a list of the other firms invited to bid.
- Commencement and or/ completion date of the works or services.

- For consultant services, an indicative level of effort expected for key experts (in person days or weeks) or an indicative budget
- List of documents required for submission
- Language of the Bid
- Validity of the Bid
- Method of submission. If bids are required electronically, specify the email address and any requirements in relation to document format (pdf, excel, word, etc.), size and number of attachments. If hard copy submission, specify number of copies and complete address for submission.
- Any special instructions for presenting the financial proposal (eg. for services, a budget providing line item detail showing unit cost, quantity, total amounts per budget category including personnel, travel, equipment and supplies, etc.)
- Point of contact for the solicitation.
- Information regarding how to ask clarification questions / how to handle modifications to bids/proposals before the due date.
- Details regarding the content/format of the submission including any templates to be used and any page size/font requirements.
- Request for a signed bid/proposal by an authorized representative of the bidder.
- Type of contract envisaged (cost reimbursable, fixed price, etc) and payment currency
- Description of the quotes / bids / proposals evaluation process, the evaluation criteria with any weights, and the minimum qualifying score
- Any conditions on subcontracting (can, cannot, must identify sub-contractor in bid, etc). Reference to any laws that may be relevant, including tax obligations that must be covered by the bid/proposal

It is common for more complex solicitations (Request for Proposal and International competition) to include an opportunity for potential bidders to ask clarification questions related to the solicitation. If the solicitation provides for questions to be submitted in writing, then the cover letter should specify a point of contact and email address, as well as the last date by which questions can be submitted. The due date for questions should provide sufficient time for bidders to receive and review the solicitation documents, as well as sufficient time for the Executing Agency to respond and distribute the answers prior to the closing date of the solicitation. One question and answer document should be distributed to all potential bidders that have submitted questions or expressed interest in the solicitation.

Alternately, the Executing Agency could host a bidders' conference and respond to questions verbally. Shortly after the conference, the Buyer or Purchasing Officer should put together a question and answer document addressing each question and answer discussed at the conference for distribution to all potential bidders.

6.5 RECEIPT AND EVALUATION

The evaluation criteria and scoring system must be defined and for Request for proposal and above included in the solicitation documents. They should be developed to ensure an impartial and thorough evaluation process.

The general principle behind the evaluation process is the selection of a quote / bid/proposal that provides the best value taking into account technical, organizational and financial considerations of the solicitation document's stated specifications or criteria. Best value does not necessarily mean the lowest submitted offer, although price will have a preponderant weight when evaluating proposals for goods, works and non-consultant services. Rather, it represents a tradeoff between price and non-price factors (such as product performance, delivery schedule, technical capacity, past performance, etc.) that provides the greatest overall benefit to the Buyer.

Each quote / bid / proposal will be evaluated on a selected set of criteria, based on the nature of the procurement:

- Goods , Works, Non-consultant services
 - Conformity to specifications
 - Delivery time (date specified as “no later than...”)
 - Operating costs
 - Availability of post-delivery services or spare parts
 - Past performance
 - Price
- Consultant services
 - Experience with similar assignments
 - Timeframe
 - Key personnel
 - Methodology
 - Price
 - Optional: Transfer of knowledge, Inclusion of national experts

The evaluation process should be documented and archived. In annex 2, a template is available to document the selection criteria, the rating of each of the proposal received and the decision.

In case of Request for Proposals and International competition (> \$100,000), bids and proposals should be received and filed in the Project Procurement Records. All bids/proposals should be time/date stamped and recorded on a log sheet upon receipt and placed in a secure location, such as a locked cabinet or safe until the evaluation is conducted.

Prior to the evaluation of bids/proposals, an initial review of all submissions should be conducted to ensure they are complete and meet the minimum standards of acceptability. Those bids/proposals deemed unresponsive will not be considered during the evaluation process.

Review of the proposals should be conducted by a selection panel. The panel should include at least one representative from the department that is contracting for the purchase or services, and at least one person from outside the department. External experts can also be included if appropriate. The panel should have no fewer than 3 persons.

The proposals should be evaluated in accordance with the requirements outlined in the RFP. If ranking factors were given, which is recommended, they should be used in this process. Proposals should be reviewed for capacity/ability to provide the services in the required time frame and the proposed costs. The panel should prepare a justification for its selection with a detailed list of the reasons why the selected proposal is considered the best option. The consideration should be based on lowest cost/highest quality approach. All panel members should sign the justification for the file. If a panel member disagrees, s/he can include a dissenting paragraph in the justification.

The bid/proposal evaluation process from the receipt of bids/proposals through contract award shall be confidential.

6.6 CONTRACT AWARD

Contract Types and Formats

It is important to consider the resultant contract type at the time of developing the solicitation documents, as this may affect the type of information required from the bidder. The solicitation documents should specify the proposed contract type as well as the proposed general and special contract terms. There are several contract types generally suitable to the organization's procurement needs:

- Purchase Order - commercial document used to request someone to supply goods in return for payment and providing specifications and quantities
- Fixed Price Contract – a contract that provides for a price which normally is not subject to any adjustments unless certain provisions (such as contract change, economic pricing, or defective pricing) are included in the agreement. These contracts are negotiated usually where reasonably definite specifications are available, and costs can be estimated with reasonable accuracy. A fixed price contract places minimum administrative burden on the contracting parties, but subjects the contractor to the maximum risk arising from full responsibility for all cost escalations. Also called firm price contract.
- Cost Reimbursable Contract – a contract under which allowable and reasonable costs incurred by a contractor in the performance of a contract are reimbursed in accordance with the terms of the contract.

After the evaluation has been completed and a bidder has been selected, the Purchasing Officer will notify the successful bidder and enter into negotiations. Contracts shall be awarded within the period of bid/proposal validity. The contract should include as applicable:

- Technical Specifications and statement of work / Agreed Terms of Reference
- Period of Performance
- Quantity of goods and unit price or daily rate for consultant services
- Deliverables and reporting requirements
- Payment Terms
- Name and address of the successful bidder
- General and special terms and conditions
- Termination clause
- Governing law and arbitration clauses

Communicate with Unsuccessful Offers

Once an award is made, the Purchasing Officer should notify the unsuccessful bidders in writing that their bid/proposal was not selected. For highly complex awards, however, Executing Agency may conduct a debriefing upon request from the unsuccessful bidder. The debriefing could be verbal or in writing and is limited to the identification of strengths and weaknesses in the bidder's proposal.

In case of Request for Proposals and International competition, it is mandatory to disclose publically the result of the selection process. To promote transparency, contract awards equal to or greater than USD 100,000 should be posted on the EA website and the CI-GEF Agency Resources Page. Executing Agency will provide the following information to the GEF Agency to post notices of contract award:

- Name of the Supplier/Contractor
- Start and End Date
- Contract Amount
- Brief Description

6.7 PROCUREMENT RECORDS

The Purchasing Officer is responsible for preparing and maintaining documents and records in relation to the procurement process and contract administration for a period of three years following the termination or expiration of a project. Such documentation should include the request for quote/proposal, bids received, bid evaluation, contract award recommendations. The following post award documents should also be kept: contract, amendments to the original contract and any material communications related to the implementation of the contract. CI, its representatives, and its assignees, and representatives of the GEF have the right to inspect, review or audit any and all procurement records relating to a CI-GEF Funded project.

7) SPECIFIC INFORMATION ON EQUIPMENT AND PROPERTIES

Title to any equipment and other property purchased with CI-GEF funds will be in the name of Executing Agency until the CI-GEF Agency and the Executing Agency agree at the end of the project on a transfer / permanent disposition plan.

The Executing Agency will provide adequate insurance for motorized vehicles and for all equipment with a unit cost equal to or greater than five thousand U.S. Dollars (US\$5,000). The Executing Agency will have to inform CI-GEF project Agency prior to purchasing any such vehicles or equipment if adequate insurance cannot be procured. In addition, the Executing Agency agrees to properly maintain all equipment and other property.

Each Executing Agency must maintain an inventory list of all the equipment, the date of purchase, the cost, and location. In case of disposal, transfer or donation, the date of the event should be mentioned in the inventory list and a certificate for disposal or transfer should be kept. The definition of equipment is any item costing above \$250 (unit costs) with a useful life or one year and longer. The inventory listing should be kept up-to-date and will be part of the final package requested at the end of the project along with the disposal / transfer certificates.

8) MINIMUM REQUIREMENTS FOR EXECUTING AGENCY'S GRANTEES PROCUREMENT

The EXECUTING AGENCY'S GRANTEES shall comply with the CI-GEF Project Agency procurement guidelines listed in section 8. The CI-GEF Project Agency reserves the right to grant flexibility to this policy depending on the capacity of the EA and will communicate in writing the specific changes to the Executing Agency.

8.1 PROCUREMENT METHODS

USD Amount	Procurement Method	Requirements (Documentation and archiving)
<i>Local or International Open Competition</i>		
less than \$2,000	Simplified Procurement	no price analysis required
\$2,000 to \$4,999	Simplified Procurement:	research multiple vendors, but no requirement to document in writing
\$5,000 to \$14,999	Simplified Procurement:	document three price quotes from phone, email, internet research, etc. and document selection The procurement process must be reviewed and receive written approval by the Executing Agency if supplier selected not clearly pre-identified in the budget annexed to the grant agreement between the two parties
\$15,000 to \$49,999	Request for Quote:	solicit minimum of three written price quotes and document selection The procurement process must be reviewed and receive written approval by the Executing Agency if supplier selected not clearly pre-identified in the budget annexed to the grant agreement between the two parties
\$50,000 to \$99,999	Request for Quote:	solicit minimum of three written price quotes and document selection The full procurement package must be reviewed and receive written approval by BOTH the Executing Agency and the CI-GEF project Agency
\$100,000 to \$250,000	Request for Proposal:	Write and publish a Request for Proposal (RFP) and receive minimum of three bids (which must include detailed pricing and a narrative explanation) and document The full procurement package must be reviewed and receive written approval by BOTH the Executing Agency and the CI-GEF project Agency
<i>International Open Competition</i>		
greater than \$250,000	International Competition	Above \$250 000 Request for Proposal have to be opened to international competition. Write and publish a Request for Proposal (RFP) on CI's public website, in international newspapers or publications to ensure competition. Executing Agency must receive a minimum of three bids (which must include detailed pricing and a narrative explanation) and document selection Prior to engaging in an agreement or contract with a supplier of goods or services, the full procurement package must be reviewed and receive written approval by BOTH the Executing Agency and the CI-GEF project Agency

8.2 PROCUREMENT PRIOR APPROVAL BY THE EXECUTING AGENCY AND CI-GEF PROJECT AGENCY

EA's Grantee is authorized to purchase goods and services with a total cost between US\$5000 and US\$15000 only if (i) the goods or services are clearly identified in the budget annexed to the grant agreement between the two parties or (ii) with the specific, prior, written approval of the Executing Agency. For all purchases of goods and services in excess of US\$5000 not set forth in the grant agreement, the Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, the procurement process and the programmatic justification for such purchase.

EA's Grantee is authorized to purchase goods and services with a total cost equal to or above US\$15000 only with the specific, prior, written approval of the Executing Agency. The Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, and the programmatic justification for such purchase.

EA's Grantee is authorized to purchase goods and services with a total cost equal to or above US\$50 000 only with the specific, prior, written approval of BOTH the Executing Agency and the CI-GEF Project Agency. The CI-GEF Project Agency approval will be sought by the Executing Agency. The Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, and the programmatic justification for such purchase.

8.3 SPECIFIC INFORMATION ON EQUIPMENT AND PROPERTIES

Title to any equipment and other property purchased with Grant funds (including any interest thereon) shall be in the name of Grantee until the Executing Agency provides permanent disposition instructions at the expiration or other termination of the Grant. Grantee agrees to provide adequate insurance for motorized vehicles and for all equipment with a unit cost equal to or greater than five thousand U.S. Dollars (US\$5,000) purchased with Grant funds. Grantee shall notify the Executing Agency prior to purchasing any such vehicles or equipment if adequate insurance cannot be procured. In addition, Grantee agrees to properly maintain all equipment and other property purchased with Grant funds.

8.4 FLOW DOWN OF THE PROCUREMENT POLICY

Grantee hereby expressly binds itself to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under the Agreement between the Executing Agency and its Grantee.

Annex 1: Responsibility of the Purchasing Officer

The individual conducting the procurement shall:

- Review each purchase order/request for proposal/ for proper description and technical reference or specifications such as approvals, clearances, etc and all other necessary data to include quality control
- Select a number of qualified suppliers, sufficient for meeting competition criteria.
- Prepare the solicitation, including a detailed scope of work and required deliverables, selection/award criteria and select the contract type.
- Document all negotiations/discussions and phone calls, conduct price analysis and when necessary, obtain cost analysis.
- Assure that budget is not exceeded.
- Evaluate proposals (as part of evaluation team).
- Establish and maintain a follow-up system of tracking deliveries to assure contractor compliance with deliver terms of contract.
- Review invoices\delivery slips\packing lists for correctness against the provision of the subcontract, secure required approvals, and forward to Accounting for payment.
- Establish and maintain a master vendor list.
- Establish and maintain a procurement history file.
- Inform contractors in writing of remedial actions required concerning delivered products/services not confirming to specific requirements.
- Administer/modify/terminate contracts as required.

Annex 2 :Grid analysis for quotes / proposals / bids

Proposals / Quotations analysis - Purchases > 5 000 USD					
Service / good requested (if TOR exists, to attach):					
Description of the bidding process (ie in line with the procurement policy)					
Date of final analysis					
If sole- sourcing, explanation					
	Quotation 1	Quotation 2	Quotation 3	Quotation X	Quotation Y
	<i>Vendor's name</i>	<i>Vendor's name</i>	<i>Vendor's name</i>	<i>Vendor's name</i>	<i>Vendor's name</i>
	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>
	<i>Description</i>	<i>Description</i>	<i>Description</i>	<i>Description</i>	<i>Description</i>
CRITERIA (to be customized depending on the type of services / could be designed in an RFP)	Comments	Comments	Comments	Comments	Comments
<i>PRICE</i>					
<i>Exple : TIMEFRAME OF INTERVENTION</i>					
<i>Exple : CI VENDOR / CONSULTANT ALREADY</i>					
<i>Exple : PAYMENT CONDITIONS / PROCESS</i>					
<i>etc..</i>					
<i>ANY SPECIFIC REMARKS</i>					
TOTAL					
<u>Final decision</u>					
Name, Signature and date Requesting person :					
Name, Signature and date Operations / Finance authority :					
Name, Signature and date Executing Agency authorized signatory :					

Annex 3 :Sole source justification Template

SOLE SOURCE JUSTIFICATION

Purpose: This form must accompany purchase documentations for the sole source procurement of goods, services or materials when the purchase will exceed \$5,000 USD. For purchases less than \$5,000, the use of this form is highly recommended. The purpose of this sole source justification is to show that a competitive procurement is impractical because only one product or service can meet the specific need. It is not to be utilized to circumvent normal purchasing procedure, nor for a price-based justification.

CI Contract ID:

Project Title:

Division/Executing Agency requesting the procurement:

Date:

1. Scope of work/description of service:
2. Proposed partner/supplier:
3. Detailed explanation/justification for sole source:
4. Efforts of this selection made to identify and consider additional sources for these goods/services/materials or justification for not searching for or developing other sources:
5. Effect of this selection on future acquisition(s) or follow-up work of these goods/services/materials:
6. Cost:

Requested by:

Head of Division/Field Program/Executing Agency: (Name, Date, title, signature)

Finance Lead: (Name, Date, title, signature)

Excerpt from the Project Document of the GEF-Satoyama Project

j) Grievance Mechanism

Component 1

Each subgrant project within Component 1 will be required to set up and monitor a grievance mechanism in order to properly address and resolve community and other stakeholder grievances at the subgrantee project level. Affected local communities will be informed about the ESMF provisions, including its grievance mechanism. Contact information of the subgrantee, the Executive Team members, or CI-GEF Project Agency will be made publicly available. As part of this mechanism local communities and other interested stakeholders may raise a grievance at all times to the subgrantee, the Executive Team members, or CI-GEF Project Agency. However, as a first stage, grievances should be made to the subgrantee, who will be required to respond to grievances in writing within 15 calendar days of receipt. Claims should be filed, included in project monitoring, and a full copy of the grievance must in turn be forwarded to the Executive Team. If the claimant is not satisfied with the response, the grievance may be submitted to Conservation International Japan (CI Japan), the chair of the Executive Team, directly at: GEF-Satoyama@conservation.or.jp. CI Japan will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring. If the claimant is not satisfied with the response from the CI Japan, the grievance may be submitted to the CI-GEF Project Agency.

Subgrantees are to describe further specifics of the grievance mechanism, as necessary, to suit whatever local-specific circumstances as part of the overall proposal and in accordance with CI-GEF Project Agency Accountability and Grievance Mechanism.

Components 2 and 3

Although it is expected that grievances are less likely for Component 2 and 3, grievances are possible. For instance, stakeholders may have issues with the way information is gathered for case studies under Component 2 because key stakeholder groups are not contacted, or with the ways of information-sharing prior to and following workshops under Component 3. CI Japan sees addressing such grievances important not only because it is matter of safeguard, but also because it could lead to improving the outcomes of project activities.

Grievances should be submitted to CI Japan directly at: GEF-Satoyama@conservation.or.jp. CI Japan will respond within 15 calendar days of receipt, and claims will be filed and included in project monitoring. If the claimant is not satisfied with the response from the CI Japan, the grievance may be submitted to the CI-GEF Project Agency.

Report on Grievance

Date: MM/DD/YYYY; produced by XXXXX

Description of the grievance

Persons/organizations involved in the grievance

The reason/cause of the grievance

Response from the Executing Agency

Resolution/conclusion

(1 page max)

CI-GEF Project Agency Procurement Guidelines

Last update : March 31, 2016

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1) SCOPE OF APPLICATION

Programs funded by the Global Environment Facility through the CI-GEF Project Agency.

2) PURPOSE OF GUIDELINES

The Procurement Guidelines set forth CI's policies, procedures and standards for those purchases of goods, works and services funded by CI-GEF projects so that the purchases are carried out in a sound and consistent manner with due consideration of economy and efficiency.

Sound procurement is characterized by the following standards:

- A competitive procurement environment, including both international and local competition as appropriate
- Impartial selection process based strictly on principle of cost and the merits of a bidder's proposal
- Fairness, integrity and transparency
- Purchases made in the best interests of CI and the Global Environment Facility
- Funds are used for intended purposes
- Quality goods, works and services delivered at the time and place required
- Responsible and reliable suppliers/providers
- Maximum value for all expenditures
- Well-documented selection process

Procurement is the overall process of purchasing goods, works and/or services. This includes all steps from the identification of needs, solicitation and selection of suppliers, award of contract, and contract administration and close out. The guidelines provide guidance on each phase of the procurement process.

3) **DEFINITIONS**

Throughout this manual, the following terms will be used to refer to the various participants in the procurement process. These terms do not necessarily reflect the individual's position/title within the organization, but rather his/her role in the overall procurement process. To ensure a fair and impartial process, these functions should be carried out by different individuals to the extent possible (although the buyer and/or purchasing officer may serve as one of several members of the selection panel).

CI-GEF Project Agency: CI's dedicated team named CI-GEF Project Agency that works directly with the GEF Secretariat and Trustee to oversee the preparation and implementation of GEF-financed projects. The CI-GEF Project Agency has oversight of compliance with the Guidelines and will monitor procurement actions by Executing Entities through the review of financial reports, sampling, annual project audits reports and site visits.

Executing Agency: The Executing Agency is the organization responsible for carrying out a CI-GEF Project, including all procurement related to the project.

Buyer: The individual or business unit within the Executing Agency initiating the procurement request for specific goods, works or services, and that will manage the awarded contract on behalf of the Executing Agency.

Purchasing Officer: The Purchasing Officer is the individual within the Executing Agency responsible for conducting the procurement process on behalf of the buyer. He/she reviews the purchase request, coordinates with the Buyer to select an appropriate procurement method based on the size, complexity and appropriate market (local or international) of the procurement and implements the procurement process from the solicitation of quotes/bids through contract award. The responsibilities of this individual are described throughout the manual and summarized in more detail in Annex 1.

Selection Panel: The individuals who evaluate the quotes/proposals received in relation to the stated evaluation criteria included in the solicitation documents. Selection Panel should consist of a minimum of three (3) employees from the Executing Agency.

4) **GENERAL CONSIDERATIONS AND PRINCIPLES**

4.1 STANDARDS OF CONDUCT

All persons mandated by the Executing Agency to be involved in the procurement process are responsible for protecting the integrity of the process and ensuring that all bidders/vendors/service providers are treated on a fair and impartial basis.

During the life of the project, the Executing Agency staff will abide by CI's following policies that address standards of conduct :

- CI's Code of Ethics Policy
- CI's Anti-Bribery and Anti-Corruption Policy
- CI-GEF Project Agency Ethics Standards

These policies are public and accessible on the CI-GEF Project Agency resources web page at the following link <http://www.conservation.org/about/Pages/CI-GEF-project-agency-resources.aspx>. If, for any reason, partners would face difficulties to access this document, please address a direct request to cigef@conservation.org for a copy of the document.

The Executing Agency will follow at any time the policies and requirements stated in the grant agreement and for the procurement process will pay attention to the provision under the section 6 of the external grant agreement which focus on :

- Use of funds
- Anti-fraud
- Conflict of interest
- Anti-Bribery and Anti-Corruption

All parties involved in the procurement process will conduct themselves in a manner above suspicion of unethical behavior and avoid conflicts of interest, or even the appearance of conflicts of interest in all supplier relationships.

Any questionable or unethical behavior should be reported through the EthicsPoint Hotline at https://secure.ethicspoint.com/domain/en/default_reporter.asp

4.2 ASSESSEMENT OF THE EXECUTING AGENCY PROCUREMENT PROCESS BY THE CI-GEF PROJECT AGENCY

Prior to awarding a grant, the CI-GEF Project Agency uses an assessment tool completed for external partners with a financial questionnaire to evaluate the organizational level of potential Executing Agencies. These tools include the EA's procurement policy and procedures and provide information to evaluate the Executing Agency's ability to carry out project procurement consistent with the Guidelines. The GEF Agency may condition funding of goods, works and/or services on the implementation of certain procedures to ensure compliance with procurement requirements.

4.3 MONITORING OF PROCUREMENT PERFORMANCE OF EXECUTING AGENCY

Compliance with the procurement policies and procedures in the Guidelines is monitored through project supervision by the CI-GEF Project Agency (quarterly reports, desks review, and supervision field's visits) and annual project audits. The GEF Agency requires that the Executing Agency submit its procurement plan for review and prior approval, conduct an external annual audit and will require in the Audit Terms of Reference that the auditor determine compliance with procurement policies and procedures. CI reserves the right to request reimbursement for the amount of any contract that has not been awarded in conformity with this manual.

4.4 PRIOR APPROVALS REQUIRED FROM THE CI GEF PROJECT AGENCY DURING THE PROCUREMENT PROCESS

Executing Agency shall request PRIOR approval in writing from the CI-GEF project Agency for the following:

- PRIOR to implement the Yearly Procurement Plan
- PRIOR to procure through Limited Competition or sole-sourced procurement for any purchase over \$5,000 USD
- PRIOR to contract for any purchase over \$5,000 USD

Requests have to be addressed to the CI-GEF Project Agency by email at cigef@conservation.org.

approval for processing to a Limited competition or sole-sourced procurement	Email explaining the reason for a sole-sourced /targeted procurement process – template annex 3
At the end of the procurement process before contracted with the vendor selected (purchase above \$5,000)	Email including the following documents : <ul style="list-style-type: none"> - The RFQ / RFP - The quotations / proposals received - A table documenting the selection process (where the request has been posted, quotes / proposals matched against criteria and conclusion). A template is proposed in annex 2
Yearly procurement plan	This is included in the annual budget planning package

5) PROCUREMENT PLANNING

As part of the project annual planning activity, a Procurement Plan will be submitted along the annual Project Budget and workplan for review and approval by the CI-GEF Project Agency. The template is made available by the CI-GEF project Agency as part of the annual planning package. The Procurement Plan should list any procurement with a unit price equal or over \$5,000 and must identify the following for each of them:

- Type of Procurement (goods/services/equipment)
- Description of goods, works or services to be procured
- Procurement/selection method
- Type of competition
- Date needed
- Budgeted Amount

Procurement planning is key to the timely and cost-effective delivery of goods, works and services. The planning phase should start well in advance of the date of expected delivery of the product/service to allow sufficient time to solicit and evaluate bids or proposals and make the contract award. The planning process includes the following elements:

- Identification of goods, works and services required
- Selection of the appropriate procurement method from among those in this manual
- Development of specifications/scope of work with adequate detail including delivery conditions
- Preparation of a budget for items to be procured
- Development of evaluation criteria
- Selection of a method of procurement

Lease vs. Buy Analysis: Where appropriate, particularly for equipment over \$5,000, an analysis must be made of lease and purchase alternatives to determine which would be the most economical and practical means of obtaining the required goods.

6) PROCUREMENT PROCESS

6.1 IDENTIFICATION OF GOODS/SERVICES

Once the Project has identified a need for goods, works and/or services, the following information, as applicable, should be provided by the Buyer to the Purchasing Officer:

- A brief statement of nature and purpose of procurement
- Estimated cost and budget line related to this procurement
- A clear and adequate specification or statement of work, including quantity and unit of measure
- Required delivery or performance schedules that are realistic and specific
- Quality requirements and inspection methods
- Packing and transportation requirements
- Supply status and known sources
- Additional elements as necessary (justification for non-competitive procurement, source and origin of product or service, special conditions, etc.)

For the procurement of goods, works and non-consulting services, specifications must list performance requirements or salient characteristics as well as appropriate nomenclature. Specifications cannot include make, model, or brand.

For the procurement of consulting services¹, a Statement of Work (also called Terms of Reference) should include the following:

- Background information on the program funding the services
- Objective of the services
- Description of tasks/activities
- Required reports/deliverables
- Estimated effort required or an indicative budget
- Period of performance providing time for review and approval of final deliverables
- Minimum and desired qualifications of service providers
- Description of how performance will be monitored and evaluated

Executing Agency should follow its own internal review process, signature authority, and record keeping policies for contracting of consultants.

Once the need for particular goods, works or services has been identified, the Buyer in collaboration with the Purchasing Officer will decide on a method of procurement. Depending on the nature, size, complexity and appropriate market (local or international) for obtaining the required goods, works or services, the sourcing of suppliers and the procurement methods will differ following these present guidelines.

¹Consulting services are intellectual and advisory in nature; for non-consulting services physical aspects predominate and a measurable output results (e.g. satellite imagery, aerial photography, mapping). The process and documentation for obtaining non-consulting services follow those for the purchase of goods and works with appropriate adaptations.

6.2 SOURCING OF SUPPLIERS

The Purchasing Officer is responsible for conducting and documenting price comparisons for items purchased by the Executing Agency.

Considerations in selecting suppliers:

- Assess technical and business reputation of supplier
- Past performance (previous experience & references)
- Input from Buyer
- Recommendations from external sources
- Internet, trade fairs, catalogues, trade journals, sales literature, phone directories
- Professional associations
- Contract with sales representatives

Solicitation of suppliers should be as broad and practical as possible. All suppliers should be given the same information including that which may be shared in response to inquiries about the solicitation. The preferred method for selection will be based on competition.

Open Competition allows all suppliers wishing to bid/offer to be provided with an opportunity to do so if supplier meets requirements.

Limited Competition narrows competition to a shortlist of bidders selected in an impartial manner by the Buyer in coordinating with the Purchasing Officer either from rosters, market research, expressions of interest, etc. Limited Competition is appropriate where open competition is unsuitable, an urgent need exists, or the global market has a limited availability of the required goods or services.

Before procuring through Limited Competition, Executing Agency must receive prior approval by the GEF Agency for purchases greater than or equal to USD 5,000.

Sole sourced procurement (exception to competition)

On an exceptional basis, it may be necessary to contract directly with a supplier rather than obtain several price quotations or proposals through open or limited competition. Possible justifications for waiving the requirement for competition include:

- Item/service is available from only one source.
- Public exigency or emergency for requirement will not permit delay resulting from competitive solicitation (especially response to disasters).
- Compelling need for continuity.

The rationale for sole source bidding must be documented in writing prior to the beginning the bidding process. Justification should include an explanation of why competitive bidding is not the best option, a defensible explanation, including analysis of costs, that the cost is reasonable and within market rates, a description of the nature of prior services contracted from the supplier of, the urgency of the situation and any other information that supports the selection.

Before sole-sourced procurement, Executing Agency must receive prior approval by the GEF Agency for purchase greater than or equal to USD 5,000.

6.3 PROCUREMENT METHOD & DOCUMENTATION

USD Amount	Procurement Method	Requirements (Documentation and archiving)
<i>Local or International Open Competition</i>		
less than \$2,000	Simplified Procurement	no price analysis required
\$2,000 to \$4,999	Simplified Procurement:	research multiple vendors, but no requirement to document in writing
\$5,000 to \$14,999	Simplified Procurement:	document three price quotes from phone, email, internet research, etc. and document selection The procurement process must be reviewed and receive written approval by GEF Project Agency
\$15,000 to \$99,999	Request for Quote:	solicit minimum of three written price quotes and document selection The full procurement package must be reviewed and receive written approval by GEF Project Agency
\$100,000 to \$250,000	Request for Proposal:	Write and publish a Request for Proposal (RFP) and receive minimum of three bids (which must include detailed pricing and a narrative explanation) and document The full procurement package must be reviewed and receive written approval by GEF Project Agency
<i>International Open Competition</i>		
greater than \$250,000	International Competition	Above \$250 000 Request for Proposal have to be opened to international competition. Write and publish a Request for Proposal (RFP) on the EA website, CI-GEF Agency Resources Page, in international newspapers or publications to ensure competition. Executing Agency must receive a minimum of three bids (which must include detailed pricing and a narrative explanation) and document selection Prior to engaging in an agreement or contract with a supplier of goods or services, the full procurement package must be reviewed and receive written approval by GEF Project Agency

All bids/proposals, with a justification of why a specific vendor was chosen, should be filed with the documentation for the actual purchase. Executing Agency must maintain and retain records documenting the procurement process for 3 years after the project implementation grant expiration date.

Simplified procurement : generally appropriate for standard off-the-shelf items readily available at competitive prices.

Request for Quote (RFQ) : An RFQ generally includes a request for item/service description/specifications, price and other commercial terms and conditions related to the procurement. A minimum of 3 written quotes should be received from qualified and responsive offers. The selection should be made based on the product/service offering the best value and should be documented.

Request for Proposal (RFP) A RFP is recommended for all contracts over \$100,000, especially for those products or services with complex requirements. An RFP generally requires the bidder to submit a detailed technical proposal describing how it proposes to meet the stated requirements and a detailed cost estimate. RFPs should be published to allow the widest distribution and maximum competition and should provide the bidders with adequate time to respond (anywhere from two to six weeks). A minimum of 3 responsive bids should be received. Selection should be made to ensure best value by an impartial selection committee based on the evaluation criteria included in the RFP.

Price Analysis and Cost Analysis

Price analysis may be accomplished by obtaining verbal quotations by telephone, conducting web searches, comparing catalogue prices, comparing advertised specials, and inviting written bids. The appropriateness of each method depends upon the estimated cost of the purchase and the procurement thresholds provided in this manual. When cost analysis is required, each element of cost must be reviewed and evaluated to determine reasonableness and transparency.

6.4 PROCUREMENT PROCESS FOR REQUEST FOR QUOTE AND ABOVE

If the contract value requires a Request for Quote, Request for proposal or international competition (see definition in section 6.3), clear, complete and comprehensive solicitation documents must be developed to obtain responsive offers that can be easily compared and evaluated. The Buyer is responsible for preparing the solicitation in coordination with the Purchasing Officer.

Although the level of detail and complexity will vary, the following information should at a minimum include:

- Solicitation Title, Date of Issuance, Due date/time
- Information on minimum qualifications/eligibility requirements
- Technical Specifications/Scope of Work including deliverables/reporting
- Instructions for completing and submitting a response
- Proposed Contract Type
- General and Special Contract Terms and Conditions
- Fair and non-discriminatory evaluation criteria

The instructions should be written in a clear and concise manner and include all information that will help the bidders prepare bids that are clear, complete and comprehensive. Below is a list of the type of information to include depending on the complexity of the procurement

- Date and Time of Submission: The amount of time provided for the preparation and submission of bids varies depending on the nature and complexity of the procurement. Bidders are generally provided anywhere from two to six weeks.
- A request to acknowledge receipt and inform on whether a proposal will be submitted. Procedures related to the rejection of offers (late submission, non-responsive submission, missing documentation, etc.)
- For limited local and international bidding, a list of the other firms invited to bid.
- Commencement and or/ completion date of the works or services.

- For consultant services, an indicative level of effort expected for key experts (in person days or weeks) or an indicative budget
- List of documents required for submission
- Language of the Bid
- Validity of the Bid
- Method of submission. If bids are required electronically, specify the email address and any requirements in relation to document format (pdf, excel, word, etc.), size and number of attachments. If hard copy submission, specify number of copies and complete address for submission.
- Any special instructions for presenting the financial proposal (eg. for services, a budget providing line item detail showing unit cost, quantity, total amounts per budget category including personnel, travel, equipment and supplies, etc.)
- Point of contact for the solicitation.
- Information regarding how to ask clarification questions / how to handle modifications to bids/proposals before the due date.
- Details regarding the content/format of the submission including any templates to be used and any page size/font requirements.
- Request for a signed bid/proposal by an authorized representative of the bidder.
- Type of contract envisaged (cost reimbursable, fixed price, etc) and payment currency
- Description of the quotes / bids / proposals evaluation process, the evaluation criteria with any weights, and the minimum qualifying score
- Any conditions on subcontracting (can, cannot, must identify sub-contractor in bid, etc). Reference to any laws that may be relevant, including tax obligations that must be covered by the bid/proposal

It is common for more complex solicitations (Request for Proposal and International competition) to include an opportunity for potential bidders to ask clarification questions related to the solicitation. If the solicitation provides for questions to be submitted in writing, then the cover letter should specify a point of contact and email address, as well as the last date by which questions can be submitted. The due date for questions should provide sufficient time for bidders to receive and review the solicitation documents, as well as sufficient time for the Executing Agency to respond and distribute the answers prior to the closing date of the solicitation. One question and answer document should be distributed to all potential bidders that have submitted questions or expressed interest in the solicitation.

Alternately, the Executing Agency could host a bidders' conference and respond to questions verbally. Shortly after the conference, the Buyer or Purchasing Officer should put together a question and answer document addressing each question and answer discussed at the conference for distribution to all potential bidders.

6.5 RECEIPT AND EVALUATION

The evaluation criteria and scoring system must be defined and for Request for proposal and above included in the solicitation documents. They should be developed to ensure an impartial and thorough evaluation process.

The general principle behind the evaluation process is the selection of a quote / bid/proposal that provides the best value taking into account technical, organizational and financial considerations of the solicitation document's stated specifications or criteria. Best value does not necessarily mean the lowest submitted offer, although price will have a preponderant weight when evaluating proposals for goods, works and non-consultant services. Rather, it represents a tradeoff between price and non-price factors (such as product performance, delivery schedule, technical capacity, past performance, etc.) that provides the greatest overall benefit to the Buyer.

Each quote / bid / proposal will be evaluated on a selected set of criteria, based on the nature of the procurement:

- Goods , Works, Non-consultant services
 - Conformity to specifications
 - Delivery time (date specified as “no later than...”)
 - Operating costs
 - Availability of post-delivery services or spare parts
 - Past performance
 - Price
- Consultant services
 - Experience with similar assignments
 - Timeframe
 - Key personnel
 - Methodology
 - Price
 - Optional: Transfer of knowledge, Inclusion of national experts

The evaluation process should be documented and archived. In annex 2, a template is available to document the selection criteria, the rating of each of the proposal received and the decision.

In case of Request for Proposals and International competition (> \$100,000), bids and proposals should be received and filed in the Project Procurement Records. All bids/proposals should be time/date stamped and recorded on a log sheet upon receipt and placed in a secure location, such as a locked cabinet or safe until the evaluation is conducted.

Prior to the evaluation of bids/proposals, an initial review of all submissions should be conducted to ensure they are complete and meet the minimum standards of acceptability. Those bids/proposals deemed unresponsive will not be considered during the evaluation process.

Review of the proposals should be conducted by a selection panel. The panel should include at least one representative from the department that is contracting for the purchase or services, and at least one person from outside the department. External experts can also be included if appropriate. The panel should have no fewer than 3 persons.

The proposals should be evaluated in accordance with the requirements outlined in the RFP. If ranking factors were given, which is recommended, they should be used in this process. Proposals should be reviewed for capacity/ability to provide the services in the required time frame and the proposed costs. The panel should prepare a justification for its selection with a detailed list of the reasons why the selected proposal is considered the best option. The consideration should be based on lowest cost/highest quality approach. All panel members should sign the justification for the file. If a panel member disagrees, s/he can include a dissenting paragraph in the justification.

The bid/proposal evaluation process from the receipt of bids/proposals through contract award shall be confidential.

6.6 CONTRACT AWARD

Contract Types and Formats

It is important to consider the resultant contract type at the time of developing the solicitation documents, as this may affect the type of information required from the bidder. The solicitation documents should specify the proposed contract type as well as the proposed general and special contract terms. There are several contract types generally suitable to the organization's procurement needs:

- Purchase Order - commercial document used to request someone to supply goods in return for payment and providing specifications and quantities
- Fixed Price Contract – a contract that provides for a price which normally is not subject to any adjustments unless certain provisions (such as contract change, economic pricing, or defective pricing) are included in the agreement. These contracts are negotiated usually where reasonably definite specifications are available, and costs can be estimated with reasonable accuracy. A fixed price contract places minimum administrative burden on the contracting parties, but subjects the contractor to the maximum risk arising from full responsibility for all cost escalations. Also called firm price contract.
- Cost Reimbursable Contract – a contract under which allowable and reasonable costs incurred by a contractor in the performance of a contract are reimbursed in accordance with the terms of the contract.

After the evaluation has been completed and a bidder has been selected, the Purchasing Officer will notify the successful bidder and enter into negotiations. Contracts shall be awarded within the period of bid/proposal validity. The contract should include as applicable:

- Technical Specifications and statement of work / Agreed Terms of Reference
- Period of Performance
- Quantity of goods and unit price or daily rate for consultant services
- Deliverables and reporting requirements
- Payment Terms
- Name and address of the successful bidder
- General and special terms and conditions
- Termination clause
- Governing law and arbitration clauses

Communicate with Unsuccessful Offers

Once an award is made, the Purchasing Officer should notify the unsuccessful bidders in writing that their bid/proposal was not selected. For highly complex awards, however, Executing Agency may conduct a debriefing upon request from the unsuccessful bidder. The debriefing could be verbal or in writing and is limited to the identification of strengths and weaknesses in the bidder's proposal.

In case of Request for Proposals and International competition, it is mandatory to disclose publically the result of the selection process. To promote transparency, contract awards equal to or greater than USD 100,000 should be posted on the EA website and the CI-GEF Agency Resources Page. Executing Agency will provide the following information to the GEF Agency to post notices of contract award:

- Name of the Supplier/Contractor
- Start and End Date
- Contract Amount
- Brief Description

6.7 PROCUREMENT RECORDS

The Purchasing Officer is responsible for preparing and maintaining documents and records in relation to the procurement process and contract administration for a period of three years following the termination or expiration of a project. Such documentation should include the request for quote/proposal, bids received, bid evaluation, contract award recommendations. The following post award documents should also be kept: contract, amendments to the original contract and any material communications related to the implementation of the contract. CI, its representatives, and its assignees, and representatives of the GEF have the right to inspect, review or audit any and all procurement records relating to a CI-GEF Funded project.

7) SPECIFIC INFORMATION ON EQUIPMENT AND PROPERTIES

Title to any equipment and other property purchased with CI-GEF funds will be in the name of Executing Agency until the CI-GEF Agency and the Executing Agency agree at the end of the project on a transfer / permanent disposition plan.

The Executing Agency will provide adequate insurance for motorized vehicles and for all equipment with a unit cost equal to or greater than five thousand U.S. Dollars (US\$5,000). The Executing Agency will have to inform CI-GEF project Agency prior to purchasing any such vehicles or equipment if adequate insurance cannot be procured. In addition, the Executing Agency agrees to properly maintain all equipment and other property.

Each Executing Agency must maintain an inventory list of all the equipment, the date of purchase, the cost, and location. In case of disposal, transfer or donation, the date of the event should be mentioned in the inventory list and a certificate for disposal or transfer should be kept. The definition of equipment is any item costing above \$250 (unit costs) with a useful life or one year and longer. The inventory listing should be kept up-to-date and will be part of the final package requested at the end of the project along with the disposal / transfer certificates.

8) MINIMUM REQUIREMENTS FOR EXECUTING AGENCY'S GRANTEES PROCUREMENT

The EXECUTING AGENCY'S GRANTEES shall comply with the CI-GEF Project Agency procurement guidelines listed in section 8. The CI-GEF Project Agency reserves the right to grant flexibility to this policy depending on the capacity of the EA and will communicate in writing the specific changes to the Executing Agency.

8.1 PROCUREMENT METHODS

USD Amount	Procurement Method	Requirements (Documentation and archiving)
<i>Local or International Open Competition</i>		
less than \$2,000	Simplified Procurement	no price analysis required
\$2,000 to \$4,999	Simplified Procurement:	research multiple vendors, but no requirement to document in writing
\$5,000 to \$14,999	Simplified Procurement:	document three price quotes from phone, email, internet research, etc. and document selection The procurement process must be reviewed and receive written approval by the Executing Agency if supplier selected not clearly pre-identified in the budget annexed to the grant agreement between the two parties
\$15,000 to \$49,999	Request for Quote:	solicit minimum of three written price quotes and document selection The procurement process must be reviewed and receive written approval by the Executing Agency if supplier selected not clearly pre-identified in the budget annexed to the grant agreement between the two parties
\$50,000 to \$99,999	Request for Quote:	solicit minimum of three written price quotes and document selection The full procurement package must be reviewed and receive written approval by BOTH the Executing Agency and the CI-GEF project Agency
\$100,000 to \$250,000	Request for Proposal:	Write and publish a Request for Proposal (RFP) and receive minimum of three bids (which must include detailed pricing and a narrative explanation) and document The full procurement package must be reviewed and receive written approval by BOTH the Executing Agency and the CI-GEF project Agency
<i>International Open Competition</i>		
greater than \$250,000	International Competition	Above \$250 000 Request for Proposal have to be opened to international competition. Write and publish a Request for Proposal (RFP) on CI's public website, in international newspapers or publications to ensure competition. Executing Agency must receive a minimum of three bids (which must include detailed pricing and a narrative explanation) and document selection Prior to engaging in an agreement or contract with a supplier of goods or services, the full procurement package must be reviewed and receive written approval by BOTH the Executing Agency and the CI-GEF project Agency

8.2 PROCUREMENT PRIOR APPROVAL BY THE EXECUTING AGENCY AND CI-GEF PROJECT AGENCY

EA's Grantee is authorized to purchase goods and services with a total cost between US\$5000 and US\$15000 only if (i) the goods or services are clearly identified in the budget annexed to the grant agreement between the two parties or (ii) with the specific, prior, written approval of the Executing Agency. For all purchases of goods and services in excess of US\$5000 not set forth in the grant agreement, the Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, the procurement process and the programmatic justification for such purchase.

EA's Grantee is authorized to purchase goods and services with a total cost equal to or above US\$15000 only with the specific, prior, written approval of the Executing Agency. The Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, and the programmatic justification for such purchase.

EA's Grantee is authorized to purchase goods and services with a total cost equal to or above US\$50 000 only with the specific, prior, written approval of BOTH the Executing Agency and the CI-GEF Project Agency. The CI-GEF Project Agency approval will be sought by the Executing Agency. The Grantee must submit a written request to the Executing Agency, describing the proposed item, its cost, and the programmatic justification for such purchase.

8.3 SPECIFIC INFORMATION ON EQUIPMENT AND PROPERTIES

Title to any equipment and other property purchased with Grant funds (including any interest thereon) shall be in the name of Grantee until the Executing Agency provides permanent disposition instructions at the expiration or other termination of the Grant. Grantee agrees to provide adequate insurance for motorized vehicles and for all equipment with a unit cost equal to or greater than five thousand U.S. Dollars (US\$5,000) purchased with Grant funds. Grantee shall notify the Executing Agency prior to purchasing any such vehicles or equipment if adequate insurance cannot be procured. In addition, Grantee agrees to properly maintain all equipment and other property purchased with Grant funds.

8.4 FLOW DOWN OF THE PROCUREMENT POLICY

Grantee hereby expressly binds itself to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under the Agreement between the Executing Agency and its Grantee.

Annex 1: Responsibility of the Purchasing Officer

The individual conducting the procurement shall:

- Review each purchase order/request for proposal/ for proper description and technical reference or specifications such as approvals, clearances, etc and all other necessary data to include quality control
- Select a number of qualified suppliers, sufficient for meeting competition criteria.
- Prepare the solicitation, including a detailed scope of work and required deliverables, selection/award criteria and select the contract type.
- Document all negotiations/discussions and phone calls, conduct price analysis and when necessary, obtain cost analysis.
- Assure that budget is not exceeded.
- Evaluate proposals (as part of evaluation team).
- Establish and maintain a follow-up system of tracking deliveries to assure contractor compliance with deliver terms of contract.
- Review invoices\delivery slips\packing lists for correctness against the provision of the subcontract, secure required approvals, and forward to Accounting for payment.
- Establish and maintain a master vendor list.
- Establish and maintain a procurement history file.
- Inform contractors in writing of remedial actions required concerning delivered products/services not confirming to specific requirements.
- Administer/modify/terminate contracts as required.

Annex 2 :Grid analysis for quotes / proposals / bids

Proposals / Quotations analysis - Purchases > 5 000 USD					
Service / good requested (if TOR exists, to attach):					
Description of the bidding process (ie in line with the procurement policy)					
Date of final analysis					
If sole- sourcing, explanation					
	Quotation 1	Quotation 2	Quotation 3	Quotation X	Quotation Y
	<i>Vendor's name</i>	<i>Vendor's name</i>	<i>Vendor's name</i>	<i>Vendor's name</i>	<i>Vendor's name</i>
	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>	<i>Ref and date of the proposal / quotation + quotation format (email, paper, phone, etc)</i>
	<i>Description</i>	<i>Description</i>	<i>Description</i>	<i>Description</i>	<i>Description</i>
CRITERIA (to be customized depending on the type of services / could be designed in an RFP)	Comments	Comments	Comments	Comments	Comments
<i>PRICE</i>					
<i>Exple : TIMEFRAME OF INTERVENTION</i>					
<i>Exple : CI VENDOR / CONSULTANT ALREADY</i>					
<i>Exple : PAYMENT CONDITIONS / PROCESS</i>					
<i>etc..</i>					
<i>ANY SPECIFIC REMARKS</i>					
TOTAL					
<u>Final decision</u>					
Name, Signature and date Requesting person :					
Name, Signature and date Operations / Finance authority :					
Name, Signature and date Executing Agency authorized signatory :					

Annex 3 :Sole source justification Template

SOLE SOURCE JUSTIFICATION

Purpose: This form must accompany purchase documentations for the sole source procurement of goods, services or materials when the purchase will exceed \$5,000 USD. For purchases less than \$5,000, the use of this form is highly recommended. The purpose of this sole source justification is to show that a competitive procurement is impractical because only one product or service can meet the specific need. It is not to be utilized to circumvent normal purchasing procedure, nor for a price-based justification.

CI Contract ID:

Project Title:

Division/Executing Agency requesting the procurement:

Date:

1. Scope of work/description of service:
2. Proposed partner/supplier:
3. Detailed explanation/justification for sole source:
4. Efforts of this selection made to identify and consider additional sources for these goods/services/materials or justification for not searching for or developing other sources:
5. Effect of this selection on future acquisition(s) or follow-up work of these goods/services/materials:
6. Cost:

Requested by:

Head of Division/Field Program/Executing Agency: (Name, Date, title, signature)

Finance Lead: (Name, Date, title, signature)

[date]

[recipient contact]

[title]

[address]

Dear [recipient]:

We are planning to conduct programmatic site visits of our [Country / Region] grantees in [Month / Year] and in accordance with the terms of the agreement Conservation International Japan (CIJ) has with [Grantee] we would like to schedule a visit to your organization between [Month / Year] - [Month / Year].

Our review will include activities from [Report Start Date] to [Report End Date] for the grant agreement titled: [Grant Title].

In order to facilitate our review, please send us any outstanding reports for the period noted above by [Date].

In addition, we will need access to any documentation related to the reported activities in the above period.

The visit will also provide you with an opportunity to ask us any questions you might have on the general management of your CI grant.

Please confirm your organization's availability by [Date] to accommodate us during the proposed time following which we will finalize logistical arrangements together. Feel free to contact us if you have any questions/comments. We look forward to working with you.

Sincerely,

[Sender]

WEB: www.conservation.or.jp
Blog : <http://ci-japan.blogspot.jp/>

Twitter : CI_Japan

Grantee Name:
Project Title:
Period of Performance:
Grant amount:
Grant Number:

Date of Site Visit:
Location of Site Visit:

CI Attendees:
Review Period

Review Item	Observations	Recommendation
Personnel		
Safeguards		
Professional Services		
Reporting		
Conflict of Interest		
Use of Logo		
Furniture and Equipment		
Supplies		
Code of Ethics		
Travel		
Sub-grants		
Other		

Interview Section		
A	General Overview	Notes
1	Introduction of staff	<i>List of Attendees (Name & Title); identify who is working on the project</i>
2	Present Objectives of site visit and methodology	
3	Review On-Site Agenda	
4	What other donors are funding this project?	
5	What are the objectives of the project?	
B	Financial Reporting and Cash Management	Notes
1	Who manages the budget?	
2	Is the project on budget? Is the spending on track? If not, explain. What % of budget spent and how far into the budget are you?	
4	What is your exchange rate policy? How do you convert reports in USD?	
5	How do you pay your staff - as contractors or employees?	
6	How you track staff time when they work on multiple projects? How do you determine what to charge to each project?	
7	Is there a separate bank account for this grant agreement?	
8	How do you record and clear travel advances?	
C	Compliance	Notes
1	Have all management staff reviewed the terms of the grant agreement? Who ensures compliance with the terms?	
2	Does this grant work with closely with local government officials? What is the local govt participation in the project?	
3	Are any of the grantee's contractors related to staff?	
4	Are any of the contractors related to CI staff?	
D	Program Staff Interviews	Notes
1	What is your role in the grant?	
2	Do you have a good working relationship with finance staff? Eg do they process project expenses and advance requests promptly?	
3	How often do you meet with the finance team to review project finances?	
4	Do you get involved in preparing the project budget or is this done by the finance team?	
5	Who manages the project budget in practice? Do you make decisions on budget spending and monitor expenditure against your project budget- or is this done by the finance team for you?	
6	Do you have a working advances system? Are you allowed more than one working advance at a time? Do you have any outstanding advances?	
7	What is the process if you need to spend money for your project? Does all expenditure have to be authorized? If so, who authorizes expenditure and are there any limits applied?	
8	If your project grant is delayed, are you allowed to 'borrow' from other projects to keep the project going or do you have to wait until the money is received before spending starts? Do other projects borrow from your grant if their income is delayed?	
9	What is your policy on conflicts of interest? How does disclosure work?	
10	Have you identified any conflicts of interest among your team or sub-recipients? How did you handle it?	
11	Are you aware of any concerns around non-performance (organization or its sub-recipients)?	
E	Safeguards	Notes
1	In terms of safeguards, what is working? And what is not working? What are you finding to be the most challenging?	
2	If you could go back to the ProDoc stage, what advice would you give yourselves/ what would you do differently?	
3	So far, what would you consider the social, environmental and/or financial costs of the safeguards?	
4	Overall, do you think the benefits outweigh the costs?	
5	As you have implemented the safeguards plan for this project, have you found it adequate, do you think it needs to be revised in any way, to expand and/or reduce scope?	

CI-GEF Site Visit Checklist

	Yes	No	N/A	Comments
Personnel/Salaries Are all staff in the budget in place and working on the project the percentage of the time they are budgeted for? Are Key Personnel in the Grant agreement the same as the the current key personnel? Was there a change? Please note that CI-GEF must have approved the hiring and changes to key personnel as described in the grant agreement Are there timesheets for that month with approval from the supervisor? Is there an Employee Contract or Letter of Employment for each employee?				
Safeguards Please refer to full list of questions and guidance Is the EA assuring that their sub-grantees understand the safeguards and have them in place? Is the project adequately budgeted and staffed in order to successfully fulfill the safeguard requirements?				
Professional Services Are consultants hired to undertake work for this project? Are there contracts for the consultants? Are there any planned services agreement not current in the budget?				
Reporting Is the person that prepares the technical report the same one submitting it? Is the person preparing the financial report the same one submitting it? Have the reports been internally approved by someone besides the preparer ? Is leadership for the grantee aware of the project? What type of reports and status are provided to leadership on a regular basis? (to see how the project is performing)				
Conflict of Interest Are there conflicts of Interest? If there are, have they been disclosed?				
Use of Logo Per the agreement, the GEF and CI logo must be appropriately displayed in project equipment and vehicles as well as publications in accordance with the GEF Communication and Visibility Policy. Are the GEF logos in the equipment (computers, cameras, desks, cars)?				
Furniture and Equipment Does the grantee have an inventory list? Check budget against the inventory list. Are the equipment in the inventory list and budget physically there? Examples: Computers, desks, vehicles, boats, cameras, GPS? Are there logs maintained to record mileage and use of vehicle ?				
Supplies If grantee has added promotional material in budget. Are they physically located in the office for distribution? (think about the size of the supplies in the budget)				
Code of Ethics Does the grantee have access to the Code of Ethics? Do they understand that they can report inappropriate action to the Ethics Hotline?				
Travel Does the grantee have a travel policy in place? Ask for travel information such as: Does the grantee have cash advance request and approval documents? If so, please ask for copies of these documents.				
Sub-grants Do they have sub-grant agreements ? If so, ask them to share this with you How do they monitor the sub-grants, do they receive reports? If they receive reports, how frequently are those reports submitted?				
Other				

Grantee Site Visit Report

Grantee Name:
Project Title:
Period of Performance:
Grant amount:
Grant Number:

Date of Site Visit:
Location of Site Visit:

CI Attendees:
Financial Review Period

Review Item	Observations	Recommendation
Financial Reports Review		
Furniture and Equipment		
Maintenance		
Meeting and Special Events		
Miscellaneous		
Professional Services		

CI-GEF Agency Site Visit Worksheet

General Information		Report Period		Participants of Site Visit:	
Grantee Name	_____	Total Project Budget	_____	CI-GEF Agency	
Grant Title	_____	Co-Finance committed	_____	_____	
Project Site	_____	Co-Finance realized to date	_____	_____	
Funding Source	_____	Grant Budget	_____	Executing Agency	
Agency PAF/CAF Number	_____	Grant Expenses	_____	_____	
Financial Risk Assessment Result	_____	Budget Balance	_____	_____	
Total CI Payments as of [DATE]	_____	Date/Location of Review	_____	_____	
Total Expenses Reported as of [DATE]	_____	Date Review Completed	_____	_____	
Cash Balance as of [DATE]	_____				
Grant Reviewer	_____				
CI Grant Manager	_____				
Executing Agency:	_____				

			YES	NO	N/A	Comments	Recommendations
1	Do the disbursements reported by the grantee match with CI records?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	Do the detailed transactions match the financial reports by expense type and in total?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3	Is there a separate bank account for this grant agreement?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4	Is it reconciled & does the balance match the balance reported on the financial reports?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
5	Does the last financial report align with the balance of grantee's project bank account?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6	Is the exchange rate rate documented and reasonable?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7	Do the reported expenses exceed budgeted allocation?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8	Do the major approved purchases align with what was approved in the Procurement Plan?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
9	Will the project meet budget time frame (rate of expenditures)? If not, why?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
10	Have any budget adjustments been needed?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
11	Are co-finance requirements being met and properly documented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
12	Are receipts available upon request?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
13	Are expenditures approved by the appropriate person?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
14	How are operating expenses charged to the grant? If an overhead rate is used, can it be substantiated?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
15	Is travel documented (date, location, purpose & rates) and according to approved budget?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

			YES	NO	N/A	Comments	Recommendations
Supporting Document Review							
Financial Records:							
1	Are receipts available upon request?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
2	Are expenditures approved by the appropriate person?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
3	How are operating expenses charged to the grant? If an overhead rate is used, can it be substantiated?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
4	Is travel documented (date, location, purpose & rates) and according to approved budget?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Human Resources:							
5	Are there employment contracts for grant/project employees?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6	Are there complete Job Descriptions for any employees dedicated to the Project?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
7	Is level of effort properly tracked and documented for employees working on grant/project via timesheets?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8	Are any employees/board members listed as payee/vendor on the detail transactions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Procurement:							
9	Were there any transactions over \$1000? If yes, was competitive bidding used & documented?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
10	Has equipment been purchased according to approved budget?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
11	Was competitive bidding used & documented to obtain equipment?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Equipment Inventory:							
12	Does grantee have current detail asset register on file?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
13	Are motor vehicles (motorcycles/cars/trucks/bats) insured?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
14	Are there logs maintained to record mileage and use of vehicle?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
15	An inventory, up-dated within the last year, exists of equipment purchased with grant funds that includes the property record, its location, condition, and, if it was disposed of the sale price or the fair market value.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
16	Control systems are in place to prevent loss, damage, or theft of property/equipment purchased under this grant?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
17	Are adequate maintenance procedures to keep the property in good condition?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Consultants:							
18	Are there signed agreements for consultants & services contracted under the grant?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
19	Does contract outline work to be performed and comply with program objectives?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
20	Are there invoices for payments processed to consultants which align with the Consultant's Scope of Work?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
21	Was competitive bidding used to obtain contracts?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
22	If sole source used, is justification on file?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
23	Is "Contractor" invoice based on service performed?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
24	Were the CI-GEF Agency Code of Ethics flowed down in any consultant agreements?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
Sub-grants:							
25	Does any sub-grant avoid on file clearly identify the activities supported by the subgrant, a budget, the assurances/requirements that accompany project funds, and payment provisions?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
26	Were the CI-GEF Agency Procurement Policy and Safeguards Policies flowed in any sub-grant agreements?		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
27	Does the grantee executor its sub-grantee for compliance with the conditions of the sub-grant award? If yes, please detail in "Comments" Section.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Summary and Action Plan	
Comments:	_____
Action plan:	_____
Other:	_____



Site Visit Worksheet Interview Section

A. General Overview	Notes
1. Introduction of staff	<i>List of Awardees (Name & Title); identify who is working on the project</i>
2. Present Objectives of site visit and methodology	
3. Review On-Site Agenda	
4. Explain the institutional relationship between local office and HQ (if applicable)	
5. Relationship to this office and field office (if applicable)	
6. What other donors are funding this project?	
7. What are the objectives of the project?	
B. Financial Reporting and Cash Management	Notes
1. Who manages the budget?	
2. Is the project on budget? Is the spending on track? If not, explain. What % of budget spent and how far into the budget are you?	
3. What accounting system is being used? Is it automated or manual?	
4. Please explain the financial reporting process? Who prepares, who reviews? Approves?	
5. What is your exchange rate policy? How do you convert reports in USD?	
6. Please explain your indirect cost approach? (if indirect costs are charge to the grant)	
7. Does the organization have paid staff? Do you keep employment letters?	
8. How do you pay your staff - as contractors or employees?	
9. How you track staff time when they work on multiple projects? How do you determine what to charge to each project?	
10. Can you explain the approval process for payment requests? How do you pay expenditures? Check/Cash/Wire.	
11. Is there a separate bank account for this grant agreement? Is it reconciled & does the balance match the balance reported on the financial reports?	
12. Who is the signatory(ies) of the bank accounts?	
13. How do you record and clear travel advances?	
C. Compliance	Notes
1. Where are grant agreements/contracts kept? Do you have copies of all modifications/amendments?	
2. Have all management staff reviewed the terms of the grant agreement? Who ensures compliance with the terms?	
3. Is the grantee required to have an annual audit by CI? If yes, and it's a HQ audit, ask them if they have a local audit.	
4. Can you please explain the procurement approval process? Are there different processes for different type of purchases? When are bids required? Are they retained?	<i>If reviewed contracts to consultants, request a list of all contracts, and payments made (amount, date). If a list of equipment charged to the grant, request an inventory list or fixed asset register.</i>
5. Does you have insurance for property purchased with grant proceeds? Has anything been purchased with this grant that required insurance?	
6. Does this grant work with closely with local government officials? What is the local govt participation in the project?	
7. Does the grant cover per diems? What is the rate based on and how are these payments tracked & managed?	
8. Are any of the grantee's contractors related to staff?	
9. Are any of the contractors related to CI or (for CEFF) RIT staff?	
D. Subgrants - If applicable	Notes
1. Describe the subgrants awarded under this grant. Recipient, amount, term, purpose.	<i>Request a list of all subgrants, payments made (amount, date) and most recent reports sub-grantee submitted</i>
2. What was the process to award grants?	
3. Who signs the contracts?	
4. Is there a standard contract template? Does it include all CEFF policy provisions?	
5. Who monitors the sub-grant for compliance with CEFF terms and conditions?	
6. What is the reporting process? Who reviews? How are payments requested and approved?	
7. How are grants monitored for performance?	
E. Program Staff Interviews	Notes
1. What is your role in the grant?	
2. Do you have a good working relationship with finance staff? Eg do they process project expenses and advance requests promptly?	
3. How often do you meet with the finance team to review project finances?	
4. Do you get involved in preparing the project budget or is this done by the finance team?	
5. Who manages the project budget in practice? Do you make decisions on budget spending and monitor expenditure against your project budget- or is this done by the finance team for you?	
6. Do you have a working advances system? Are you allowed more than one working advance at a time? Do you have any outstanding advances?	
7. What is the process if you need to spend money for your project? Does all expenditure have to be authorized? If so, who authorizes expenditure and are there any limits applied?	
8. If your project grant is delayed, are you allowed to "borrow" from other projects to keep the project going or do you have to wait until the money is received before spending starts? Do other projects borrow from your grant if their income is delayed?	
9. What is your policy on conflicts of interest? How does disclosure work?	
10. Have you identified any conflicts of interest among your team or sub-recipients? How did you handle it?	
11. Does your project have a grievance or complaint mechanism? How does it work? Any instances reported to date?	
12. Are you aware of any concerns around non-performance organization or its sub-recipients?	

I. Transactions to be Tested

Quarterly DTR	Day	Month	Year	Date	Payee	Purpose	Description of Expenditure	Voucher number	Amount

II. Total Population (all transactions for the period under review)

Quarterly DTR	Day	Month	Year	Date	Payee	Purpose	Description of Expenditure	Voucher number	Amount



Site Visit Worksheet Testing Summary

Budget Line Item	USD Amount Spent	Tested Amount	% Tested	Disallowed Costs	% Unallowable
Furniture and Equipment			#DIV/0!		#DIV/0!
Maintenance			#DIV/0!		#DIV/0!
Meeting and Special Events			#DIV/0!		#DIV/0!
Miscellaneous			#DIV/0!		#DIV/0!
Professional Services			#DIV/0!		#DIV/0!
Salary/Benefit			#DIV/0!		#DIV/0!
Supplies			#DIV/0!		#DIV/0!
Telecommunication			#DIV/0!		#DIV/0!
Travel			#DIV/0!		#DIV/0!

Total Project Expenses

0

Total Disallowed Costs

0

GEF-Satoyama Project
Budget Approval Process

1. Partners (UNU-IAS and IGES):

- ✓ Budget is submitted to the Executing Agency.
- ✓ Project Manager reviews it and asks for relevant clarifications.
- ✓ Project Coordinator and Project Operations Manager create the Contract Master File in Agresso.
- ✓ Managing Director approves the budget as part of approval process of the grant agreement.
- ✓ After Grant Agreement is signed, Project Operations Manager processes the initial payment.
- ✓ Quarterly reports submitted are reviewed by Project Coordinator and accepted by the Project Manager.
- ✓ After acceptance of the quarterly reports, Project Operations Manager processes payments for the next quarter based on the cash flow projection.

2. Subprojects:

- ✓ Project proponent submits initial budget with application and the selection of the project constitutes the approval of the initially submitted budget by the Executive Team. Executing Agency is delegated to conduct further communication with the subgrantees and complete the grant agreements from this point.
- ✓ Project Coordinator sends the budget back to proponent for adjustment based on grant amount offered.
- ✓ After safeguards screening is completed, subgrantee is requested by Project Coordinator to make adjustments based on the results if and when needed.
- ✓ Project Coordinator and Project Operations Manager initiate the Contract Master File in Agresso for each of the subgrant project, and Managing Director approves the budget as part of approving the grant agreement.
- ✓ After Grant Agreement is signed, Project Operations Manager processes the initial payment.
- ✓ Quarterly reports submitted are reviewed by Project Coordinator and accepted by the Working Unit.
- ✓ After acceptance of the quarterly reports, Project Operations Manager processes payments for the next quarter based on the cash flow projection.

		Submitted by: Name (Date)	Reviewed by: Name (Date)	Approved by: Name (Date)
Tab 1	Project budget			
Tab 2.1	Year 1 Budget			
Tab 2.2	Year 2 Budget			
Tab 3.1	Procurement plan Year 1			
Tab 3.2	Procurement plan Year 2			
Tab 4	Quarterly report			
tab 5.1	YTD & ITD overview			
tab 5.2	YTD & ITD component			
tab 5.3	Co-financing			
tab 6	Cash flow Projection			
tab 7	Guidelines template			
tab 8	Guidelines definitions			



Quarterly Report Approval

Organization Name:	
Country:	
CMF#:	
Reporting Quarter:	

Technical Report

Received from:	Reviewed by:	Approved by:	Comments
Subgrantee Date:	Project Coordinator Date:	Project Manager Date:	

Financial Report

Received from:	Reviewed by:	Approved by:	Comments
Subgrantee Date:	Project Coordinator Date:	Operations Manager Date:	

Disbursement for the Next Quarter

Amount	Recommended by:	Approved by:	Comments
	Project Manager Date:	Managing Director Date:	

External Grants Manual

1. Introduction

Putting grant making in perspective, includes list of 'who is who.'

2. Partner Selection

3. Proposal / Scope of Work

Tips for evaluating the scope of work in light of CI programmatic priorities.

4. Budget Development

Includes guidance on indirect cost and on selecting the most efficient currency.

5. Assessing Risk

Financial risk assessments, anti-terrorism screening and programmatic risk assessments

6. Programmatic Review

Guidance for external grant review and approval by Program staff.

7. Preparing a Grant for Institutional Approval

Elements of a complete agreement, financial reporting requirements, disbursement schedules, preparing for approval checklist.

8. Securing Final Approval and Signatures

Grant (and contract) review and approval requirements.

9. Managing a Grant

Booking the commitment, scheduling and reviewing financial and technical reports, site visits for programmatic and financial compliance, requesting and making payments.

10. Amendments and Adjustments

Guidance regarding when amendments are required and adjustments may be made.

11. Close-Out

Program responsibilities and checklist

1. Introduction

CI has built an institution-wide system, GEM, to maintain information on our grantees, the funds we give them and the results achieved.

This manual is provided to guide our grant-making work, put in place important safeguards, and provide linkages to the GEM system.

Glossary of Who's Who in this Manual

General Counsel's Office (GCO) – CI's HQ-based legal team

Grantee – Organization awarded funds from CI in furtherance of CI's mission and charitable purpose

Grants Policy and Management – CI department based in HQ that develops organization-wide grants management policies and procedures and monitors compliance thereof; performs and/or coordinates financial risk assessments, desk reviews and site visits; advises and trains programs on financial issues related to proposals, agreements and monitoring.

Program – CI unit that is awarding the external grant and is responsible for working with and managing the grantee and the grant. Includes regional and technical programs.

IPLK - Program Management and Planning - HQ-based unit supporting the Regional Programs in identifying programmatic needs, assessing best-practices, and developing guidance and tools for the grantee review, selection, management, and evaluation process related to technical aspects of external grant making.

2. Partner Selection

CI's External Grant-making Responsibilities

CI has a responsibility to ensure that grantees:

- Have or gain the capacity to carry out the programmatic and financial responsibilities of the grant
- Spend funds in a manner consistent with relevant laws and governmental regulations
- Spend funds in a manner consistent with the grant agreement
- Properly account for funds expended
- Comply with any rules that are passed through from CI's original donor

CI fulfills this responsibility by:

- Assessing the fiscal capacity of potential grantees through the risk assessment process
- Providing capacity building assistance and funds both at the outset and throughout the life of the grant
- Focusing our monitoring efforts on grantees that pose the most risk and/or are the most in need of capacity building support
- Monitoring grantees through review of technical and financial reports, audits, desk reviews and site visits
- Controlling payments from CI to grantees based on programmatic progress and actual cash flows

Selecting Partners

When selecting a grantee for a potential award, Program staff must:

A. Ensure transparency

- Operate using the principles of openness, transparency and cooperation.
- If appropriate, create a mechanism to inform local organizations about grant opportunities and develop criteria to guide the selection of grantees.
- Ensure that funding decisions are made by parties who have no potential Conflict of Interest Policy.
- Keep records of all decisions.

B. Identify and address any actual or apparent conflicts of interest

CI is committed to ensuring that its transactions, engagements and relationships are transparent and do not inappropriately benefit the individuals or organizations involved. The existence of an actual or apparent conflict of interest does NOT mean that CI will not award funds to an organization. It means that CI will take the appropriate steps required to ensure that any such conflict is acknowledged and

addressed. See Conflict of Interest Policy and/or contact the General Counsel's Office for further assistance.

C. Comply with Executive Order 13224 and Patriot Act requirements

CI is subject to USA Patriot Act and Executive Order 13224 Policy, which require organizations to ensure that no funds are provided to individuals or organizations designated as supporting terrorist activities. To comply with these requirements, CI screens its grantees, consultants, vendors, and employees. Please refer to Chapter 5 for specific anti-terrorist screening requirements.

Types of Proposals

There are three different types of proposals that may be considered when selecting a partner for a grant. They differ according to the relationship CI has with the partner prior to CI receiving a proposal from that partner for that specific grant. These types are:

- 1. Unsolicited**
- 2. Competition**
- 3. Targeted**

1. If the grantee approaches CI directly without any prior discussion, their proposal is considered to be **unsolicited**. For CI to consider such a proposal:

- Its scope must match CI's outcomes, and
- CI must ensure that other potential grantees are considered.

2. If the grantee responds to CI's Request for Proposals (RFP) or other solicitation, their proposal is part of **competition**. This approach is often preferred because it can demonstrate the most transparency in the selection process. Characteristic steps include:

- Applicant(s) submit proposals.
- Program reviews proposals based on stated criteria and defined process.
- Program selects grantee(s).
- Program works with grantee(s) to refine proposal.

3. If CI approaches a grantee directly to do specific work, the resulting proposal is considered **targeted**. The following factors must be considered and documented in this situation:

- CI's history with the grantee
- Knowledge of NGO community where you work
- General availability of partners

Pass-Through Grants

In some cases, individuals, corporations, or private foundations may request that CI direct their contributions to other entities. This type of funding, with no substantial involvement by CI, should be considered a pass-through grant.

These pass-through grants may cause CI significant harm, up to and including loss of our tax-exempt status. Due to the potential sensitivity of such arrangements the GCO must analyze the facts surrounding the particular transaction in order to determine whether or not we can proceed with accepting the donation. The following kinds of pass through grants may cause problems for CI: (1) a donation to be directed to a foreign organization that is not a current or intended partner of CI; or (2) a donation for activities outside our strategic plan or not directly associated with conserving biodiversity.

1. Pass-Throughs Directed To Foreign Organizations

US taxpayers are entitled to an income tax deduction for any gift to a 501(c)3 organization, such as CI. A US taxpayer may also make gifts to a foreign organization, but would not be entitled to a deduction for that gift. A problem arises when the taxpayer asks CI to use its public charity status to pass the gift on to the foreign organization*, and takes a deduction the taxpayer would otherwise not be entitled to.

* This case can also involve a pass through grant to a foreign person, but any grants to individuals raise other, much larger issues such as private benefit, Foreign Corrupt Practices Act, etc. and are covered elsewhere.

2. Does the Transaction Involve CI Responsibility for Expenditure Control?

Private foundations are required by law to exercise expenditure control over foreign grantees. This burden of control can be transferred to a 501(c)3 organization, so foundations may ask CI to fund a foreign grantee in order to shift that responsibility to CI. The problem arises when the funds are sent to a grantee in full, without covering the expenses that CI will incur in managing the grant, monitoring performance, and ensuring that funds are allocated and spent in accordance with U.S. laws. CI could incur substantial liability if it does not exercise adequate oversight of the grantee.

3. Is the Project Consistent with CI's Mission, Activities, and Strategies?

All charities are organized with a charitable purpose, and all funded activities and projects must further this charitable purpose. CI cannot direct any funds, from any donors, towards activities that are inconsistent with or do not further CI's charitable purpose, which is the conservation of biodiversity.

Please be aware that any time CI receives funds earmarked for a particular project or activity, CI must ensure that it retains control and makes the final decision as to the use of the funds. The donor (individual or foundation) may advise as to the use of the grant and the recipient may state that it will use reasonable efforts to use the funds in the manner requested. However, for a gift to be complete, the donor must not be able to compel the recipient as to the use of the funds, or exercise continued control over the use of the funds as if the funds are still at the donor's exclusive disposal.

These issues are complex and often subject to differing interpretation. Please consult with the GCO on all projects and activities that have a pass through element.

3. Proposal / Scope of Work

A well-written and clear proposal or scope of work often results from an interactive process between the CI Program(s) and the Grantee.

Defining the scope of work clearly is critical to the success of any grant. It is important that the grantee's activities further the goals and outcomes defined for the CI Program(s) making the grant. Each grant needs to demonstrate how the work proposed will help to achieve measurable outcomes. It is critical that these linkages be clearly articulated and defined so it is evident how the work supports the activities of CI and meets donor's expectations

The scope of work should also refer to the budget and clearly demonstrate how the budget will allow the work to be effectively and efficiently achieved. A clear time-line for the achievement of major milestones or deliverables should also be included.

It is solely at the discretion of the Program to determine whether the scope of work is within the capacity of the grantee. In cases where the grantee has extensive experience in implementing CI grants, this process may seem a mere formality. However in situations where CI has limited or no familiarity with the capacity of the grantee, or in cases where a former partner is taking on a larger or more critical role, there should be a more formal review of the grantee's capacity to deliver. This may take the form of additional written descriptions of the grantee's capacities and experiences, references, interviews or site visits – anything that will allow the Program to properly assess the grantee.

The results of such assessments will allow the Program to accurately and justifiably determine a grantee's ability. In instances where a grantee may need assistance to achieve proposed activities, CI can work with the grantee to incorporate capacity building into the grant, suggest additional partnering opportunities to fill capacity gaps, or choose to fund a certain subset of activities in the short term and reassess the full scope of work as progress is made.

4. Budget Development

The partner should develop a budget consistent with the work described in the proposal or scope of work. A standard budget and reporting template is available and must be used or modified as needed (see link below).

Partners should provide a reasonably detailed and foreseeable cost estimate, as well as an estimate of when they think the costs will be incurred. Partners should always include a budget narrative to explain the assumptions and methodology used in the budget development process.

Budget information is considered, together with the results of the Financial Risk Assessment, to determine the financial reporting requirements.

Budgeting for Indirect Costs

If the activity is funded by the USG then the grantee's proposed Indirect Cost Rate must be based on a Negotiable Indirect Cost Rate Agreement known as NICRA approved by the grantee's cognizant agency. If the grantee has no approved NICRA then the indirect cost or overhead rate should be based on a documented methodology and should not exceed 15% of total direct costs. If the grantee has no documented methodology then all administrative/overhead costs should be direct charged.

Guidance for Selecting the Most Efficient Currency

CI's consolidated, worldwide set of books is maintained in US dollars (USD); the sets of books in countries outside of the US are maintained in local currencies. Whenever local bank accounts are replenished from the US, whenever obligations are recorded in local sets of books, and whenever payments are made, translation variances and currency losses or gains can complicate the management of external grants. The following guidance is intended to simplify the financial management of external grant-making for both CI and its grantees.

In general, CI external grant agreements should be written and all obligations should be booked in the same currency that will be used to make payments to the grantee. Use the following guidelines:

A. If the grant is made from the US, make the award in USD, record the obligation in USD and make the payments from the HQ office.

B. If the grant is made from a CI field office to another organization in the same country, make the award in local currency, record the obligation in local currency and make the payments from the field office in the local currency.

C. If the grant is made between two countries having different currencies, make the award in USD and request that the HQ Finance department record the obligation and make the payments from the US set of books. Submit a signed Wire Transfer Request Form along with the request for payment. Consult the Finance manual for more information.

The currency used in a donor's award to CI is not a "compelling reason" nor should it have any bearing on the currency used for a subgrant. For example, if CI gets an award in Euros, CI may make subgrants in USD. Similarly, if CI gets an award in USD, CI may make subgrants in South Africa in Rand (ZAR).

If a program is making a grant in local currency but has been discussing the amounts in USD, it should specify in the agreement that CI will translate the amount from USD into local currency as of the date of last signature on the agreement.

Selection, approval and management of a grant agreement are the responsibility of the program making the grant. In the "make payments from the US" scenario ("A" & "C" above), the accounting staff in HQ merely provide the service of recording obligations and facilitate making the payments. The program remains fully responsible for all aspects of monitoring the grant.

For further guidance, consult with a Grants Manager in the Grants Policy and Management office.

5. Assessing Risk

Financial Risk Assessment

The purpose of conducting a financial risk assessment is to better understand the capabilities of a potential grantee and to assign a risk rating. These guidelines apply to both non-profit and for-profit organizations. The financial risk assessment determines whether an organization is low, medium or high risk so that appropriate monitoring and audit procedures can be applied. A rating of high does not mean that CI will not award funds to an organization. It does mean that CI will put in place stricter monitoring controls and/or may provide additional funds to build the capacity of the recipient either through additional

grant funding to the recipient or through contracting with an outside organization for financial management/accounting services to address identified weaknesses.

Multilateral bodies and Foreign government grantees are considered potentially high risk because we cannot monitor them as we would other NGOs. Governments are often immune from enforcement of contract claims, due to their sovereign nature. CI may not be able to obtain audited financial statements and other financial reports from foreign governments or multilateral bodies, nor have the authority to conduct effective site visits. Multilateral bodies and foreign government grantees may have very good financial capacity, but CI as grantor simply has little control over the grantee.

Who is responsible for performing the Financial Risk Assessment?

If the grantee has USD20,000 or less in active, cumulative obligations outstanding from combined CI sources, it is the responsibility of the Program providing the funds to ensure that the recipient has the proper financial controls in place.

If the grantee is receiving USD20,001 or more from combined CI sources, the risk assessment is performed by Grants Policy and Management for all Programs. Only a few programs have been trained and approved to carry out financial risk assessments for external grants up to a pre-determined threshold.

Who should submit a Financial Questionnaire?

With the exception of individuals and grantees receiving goods and services, all grantees must complete a financial questionnaire and submit certain supporting documentation. CI uses the financial questionnaire and the supporting documentation to gather detailed information on the organization in order to assess the adequacy of a prospective grantee's internal controls, accounting system, and financial reporting capacity. This information also serves to detect any potential conflict of interest and to meet anti-terrorism screening requirements.

How should the documentation be collected?

Program staff are responsible for notifying the grantee when a Financial Questionnaire or other documentation is required, ensuring that the questionnaire is completed appropriately and that the grantee submits the necessary supporting documentation. The Program must verify that potential award recipients submit all requested information and must upload a complete package in GEM for a financial risk assessment.

Required supporting documentation includes:

- Materials that describe the organization, its mission and history
- Incorporation or registration certificate
- IRS determination letter (for US organizations)
- List of all the current members of the Board of Directors
- Recent financial reports (within last 3 months) generated from the organization's accounting system
- Latest Independent Audit Report and Management letter
- A-133 Audit Report for US-based grantees expending more than USD500,000 in U.S. Government funds in a fiscal year

- Latest financial audit conducted in accordance with the Federal "Guidelines for Financial Audits Contracted by Foreign Recipient." for non-US based grantees expending more than USD300,000 in US Government funds in a fiscal year.
- If no Audit Report, then provide Balance Sheet and Income Statement for the prior fiscal or calendar year.

Steps to Complete a Financial Risk Assessment

To complete the Financial Risk Assessment, Grants Policy and Management or Programs as appropriate, will:

1. Review the financial questionnaire along with the supporting documentation.
2. Complete the Financial Risk Assessment Worksheet; assigning a numeric value based on a pre-determined point scale, which classifies the organization's risk as low, medium, or high.
3. Record the Risk Assessment rating in GEM.
4. Post a copy of the Financial Risk Assessment Worksheet along with all supporting information in GEM.

Steps for the Programs after the Financial Risk Assessment is Completed

1. Review the Financial Risk Assessment Worksheet and decide if/how to proceed with grant.
2. If a decision is made to proceed, draft the grant agreement, incorporating appropriate reporting and monitoring requirements and disbursement schedule (see Chapter 7).

When is an updated Financial Risk Assessment required?

Changes or concerns in any of the following areas may signal a need to conduct a Financial Risk Assessment re-evaluation:

1. Grantee applies for additional funding from CI, the award of which would change the rating on various criteria used on the risk assessment worksheet
2. Most recent financial questionnaire is more than 12 months old
3. Performance on current or recent CI grants or non-compliance with donor's terms and conditions as set forth in the grant agreement
4. Changes in grantee's current finances, as reflected in its recent audits or financial reports
5. Results of a desk review or site visit
6. Change in key personnel and/or management

Any CI program involved in grant making, including Regional and Technical Programs, Grants Policy and Management and the GCO, may ask for a new financial risk assessment when they think one is warranted. The requesting program and Grants Policy and Management should consult to determine whether a re-evaluation is necessary and whether a new financial questionnaire or other documentation should be requested from the grantee.

Security Screening

As a US-based grant-making organization, CI is required by the US government to screen all grantees (except government agencies of any country and multilateral bodies), consultants, vendors, and employees against various lists of organizations and individuals suspected of having links to terrorism.

Grants Policy and Management is responsible for performing the screening for grantees. The screening must be completed prior to making the initial payment.

If a recent financial questionnaire is posted in GEM, a separate request for screening is not necessary. Grants Policy and Management will conduct the screening based on the information provided by the grantee in their completed Financial Questionnaire. For all other grants, the program should complete the Security Screening Request Form - Grants and attach this form in GEM.

When is re-screening done or required?

A new screening is required for each new grant. Since management, project and board positions all change over time, and the lists that we screen against are updated regularly, re-screening is prudent.

Programmatic Risk Assessment

Each program is responsible for evaluating and addressing the programmatic risk related to each agreement. The purpose of a programmatic risk assessment is to analyze the grantee's capacity and ability to define and achieve measurable outcomes. Considerations include the organization's experience; its management structure and rate of turnover; organizational policies; reporting capabilities; relationships with community and institutional stakeholders; the quality of the project design; the possibility for long-term sustainability of the project's objectives and strategies; and the political climate in the region in which grant funds will be maintained. Programs are responsible for defining the desired scope, procedures and instruments for performing programmatic risk assessments.

6. Programmatic Review

Each program must establish a process to review the proposal/scope of work and budget, according to its own needs and approval procedures. The following serves to guide that review and approval. This is not a complete list of considerations, and each program should add their own to the process.

Considerations for review/approval of grantee proposal/scope of work and budget:

==> The work of the partner must contribute to **CI's mission** and the accomplishment of **CI's outcomes**.

==> Ensure that all agreements comply with **donor restrictions and objectives**.

Review Proposal/Scope of Work for any reference to lobbying. As a public charity, CI must track and report the resources it spends on lobbying. Lobbying is not permissible with funding from a private foundation or from the US Government. It is allowed with other funding only if that funding is unrestricted, or if lobbying has been specified as an acceptable activity by the donor. Lobbying carried on by a grantee using CI grant funds is attributable to CI. Accordingly, if the grantee's responsibilities include lobbying, the grantee must track the hours and resources spent on this activity and provide this information to CI in its financial reports, so that CI can fold this information into its own reporting. For more information, refer to CI's policy on Lobbying Policy and the materials below.

==> Be aware of the provisions of the Foreign Corrupt Practices Act Policy, as discussed in CI's policy . The FCPA prohibits transactions with foreign officials for the purpose of influencing an official decision, violating official duties, or securing any improper advantage. For more information, refer to the materials below.

==> Political activities are prohibited. Look for any reference to them. As a public charity, CI is not permitted to “participate in or intervene in any political campaign on behalf of (or in opposition to) any candidate for public office.” Violation of this prohibition can result in loss of CI’s tax-exempt status. For more information, refer to CI’s policy Prohibition on Political Campaign Activity Policy and the materials below.

==> Look for anything that may present an actual or apparent conflict of interest. CI is committed to ensuring that its transactions, engagements and relationships are transparent and do not inappropriately benefit the individuals or organizations involved. The existence of an actual or apparent conflict of interest does NOT mean that CI will not award funds to an organization. It means that CI must formally acknowledge and address any such conflict. In the case of external grants, examples of actual or apparent conflicts include:

- o The grantee is led by or employs individuals who are related to CI employees (spouse, child, etc.).
- o A CI employee is on the board of the grantee.
- o The grantee’s manager/project lead is also a CI employee.

Refer to CI’s Conflict of Interest Policy and contact the General Counsel’s Office regarding how to proceed if a conflict of interest is identified or suspected.

==> Ensure that the **budget** and budget narrative are detailed enough for CI to fully understand the intended purpose and use of the funds and the work that will be accomplished. The budget must clearly tie to/support the proposal/scope of work. The budget must also provide the framework for the financial reports that will follow.

Once the Program Review is complete and the proposal/scope of work and budget have been approved, ensure that the following steps are completed:

- 1) Risk assessment and anti-terrorist screening (see Chapter 5).
- 2) Prepare grant for institutional approval (see Chapter 7).

7. Preparing a Grant for Institutional Approval

Elements of a Complete Agreement

Written agreements must be used whenever CI transfers anything of value (cash or goods/services) to an external organization or individual. If a program is giving both cash and goods/services to a grantee, the program should use two different grant agreements, as they need to be treated differently from an accounting perspective. Much of what follows pertains to agreements where CI is providing funding (cash) to the grantee. To create a grant agreement to provide goods or services, see Grants Policy and Management for assistance.

There are different grant templates available depending on the source of funding for the grant. Use the grant template that fits the situation. The links below are for external grants that are:

- not funded by any bilateral or multilateral government or funds (for DC programs), or
- funded by USAID (for DC & field programs)

If a grant is funded by US government agencies other than USAID, or by other bilateral or multilateral government agencies, see Grants Policy and Management before drafting the agreement. Especially if a program expects to fund a significant number of external grants from one of these sources, it should

contact Grants Policy and Management up front, in order to develop a standard template for this source of funding.

For grants not funded by US government and multi-lateral funds, field-based programs must use the approved in-country template that has been reviewed and approved by local counsel. If no in-country approved template exists, use the CI grant template until an in-country template becomes available.

Agreement for a grant not funded by a government agency (bilateral or multi-lateral)

Agreement for a USAID Funded grant to a non-US based organization

Agreement for a USAID funded grant to a US based organization

Each agreement must include the following:

1. Properly Identified Grantee - name should be consistent with other documentation:

- o Name on financial questionnaire
- o Name on bank account
- o Signature block
- o Name on incorporation or registration certificate

2. Proposal / Scope of Work and Budget (see Chapter 3)

3. Flow-down Provisions

- o Certain terms and conditions in US Government, Multilateral or other Bilateral prime awards may need to be incorporated into a sub-agreement.
- o If the grantee's activities are funded by more than one restricted funding source/donor, the Program should in most cases use two different grant agreements to ensure that the relevant terms and conditions are incorporated into the agreement.

4. Financial and Technical Reporting Requirements

- o For financial reporting, follow the guidance provided later in this Chapter.
- o The frequency and content of Financial Progress Reports must be consistent with the financial risk rating.
- o Include match-reporting requirements, if any.
- o For Technical Reports, request written reports at a frequency comparable to financial reports and in line with the timing proposed by the grantee for the completion of key milestones, outcomes and deliverables.

5. Training/Capacity Building Requirements

- o It is sometimes appropriate to provide training or to fund other capacity building activities to enhance the capabilities of the grantee. These elements should be described in the grant agreement.
- o A program may also wish to consider contracting an outside firm to provide accounting or financial management support for a grantee as an initial capacity building step. If it is determined that a grantee needs the support of outside services, for example an accounting firm, it may be more effective for CI to contract with the outside firm directly. If the grantee were to contract for these services, the contractor would report to the grantee, not to CI, limiting CI's effectiveness in overseeing the grant.

6. Disbursements

- o Follow guidance below.
- o The frequency and amount of the disbursements must be based upon cash flow projections and timely financial reports.
- o Exceptions to the frequency and amount of the disbursements must be well documented and signed by the CI's project director responsible for the grant.

Financial Reporting Requirements

The risk assessment process is described in Chapter 5. Based on the risk rating determined at that step,

use the following Financial Reporting Grid to identify the requirements to be included in the agreement. Grants equal or greater than \$20,000 require a minimum of quarterly reports from grantees. Organize the financial reporting to meet this need, but feel free to implement a more rigorous standard if the situation so demands.

Financial Reporting Grid			
	Total Amount of Agreement		
Risk	\$20,000 or less	\$20,001 - \$99,999	\$100,000 or more
Low	Financial Reports due every six months, or at the end of the project if project term is less than six months.	Financial reports due quarterly (every three months).	Option 1. Financial reports due quarterly (every three months), plus submission of grantee's annual independent audit report and Management Letter. Option 2. Financial reports and detail General Ledger transaction reports due quarterly (every three months).
Medium	Financial Reports and detail General ledger transaction reports due every six months, or at the end of the project if project term is less than six.	Financial reports and detail General Ledger transaction reports due quarterly (every three months).	Option 1. Financial reports and detail General Ledger transaction reports due quarterly (every three months), plus annual financial desk review and/or site visit. Option 2. Financial reports due quarterly (every three months), plus project funded annual independent project audit. *
High	Financial Reports, detail General ledger transaction reports and copies of selected receipts due every six months, or at the end of the project if project term is less than six months.	Financial reports and detail General Ledger transaction reports due quarterly (every three months), plus annual financial desk review and/or site visit.	Option 1. Financial reports and detail General ledger transaction reports due quarterly (every three months), plus annual financial desk review and site

			visit. Option 2. Financial reports and detail General ledger transaction reports due quarterly (every three months), plus project funded annual independent project audit. *
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Even when detail General Ledger transaction reports are not required to be submitted with the financial reports, CI reserves the right under the Standard Provisions to request General ledger reports and/or copies of receipts from any grantee in order to more closely monitor a project.

In the case of foreign government grantees where access to financial information may be limited, the Program should rely on stricter programmatic requirements and more frequent disbursements in order to address the financial risk. This does not apply to parastatal entities, which receive only a portion of their funds from government sources and keep funds in private accounts, or that are subject to private audit.

* Project audits should be incorporated into a grant agreement under the following circumstances: (1) they are required by the donor funding the project; or (2) the award is a large multiyear grant. The cost of a project specific audit should be funded by the project and included in the grantee's budget. In addition, the project audit scope should be included as an attachment to the grant agreement.

Disbursement Schedules

The grant agreement must state that disbursements will be made based upon submission of timely financial reports and cash flow projections. The grant agreement can include an initial advance based on expected expenditures for the first reporting period, but all subsequent payments must be made based on cash flow projections and expenditures reported on financial reports. Do not set a fixed schedule whereby payments are due on specific calendar dates. Ensure grantee is not advanced more funding than it is expected to use in a reporting period. NOTE: Anti-terrorist screening must be completed prior to the first disbursement of funds. Subsequent disbursements under the same grant do not require anti-terrorist screening.

The following grid outlines CI's standard practice for disbursing funds to grantees. For situations that require a modified approach, consult with Grants Policy and Management.

Disbursement Grid		
Total Amount of Agreement		
Risk	\$20,000 or less	More than \$20,000
Low or Medium	Program may determine disbursements in accordance with guidelines below *	Advance up to 4 months (reporting period +1); make subsequent advance payments based on grantee's cash flow projections, which is submitted with financial reports or deliverables.

		Withhold a minimum of 10% until the project is complete.**
High	Program may determine disbursements in accordance with guidelines below *	Advance up to 4 months (reporting period + 1); make subsequent advance payments based on grantee's cash flow request, which is submitted with financial reports or deliverables. Withhold a minimum of 10% until the project is complete. **

* For grants of \$20,000 or less, the program may determine the payment schedule. The following is offered as a guideline:

- If the grant period is six months or less, disburse 90% in a single payment and withhold 10% until all technical and financial reports and other deliverables are received.
- If the grant period is for more than six months, make payments based submission of financial reports and cash flow projections, withholding 10% until all technical and financial reports and other deliverables are received

** Occasionally the cash flow situation for a grantee is such that withholding 10% is not feasible. In these cases, once a project is 75% complete and acceptable programmatic and financial reports have been submitted by the grantee, the program may release the final payment.

Cost reimbursable grants (no advances) should be considered as an option for certain high risk grantees.

Preparing for Approval Checklist

At this point the following steps will be complete:

1. Secured the program's approval of the proposal/scope of work
2. Secured the program's approval of the grant amount and budget
3. Completed the Risk Assessment Process
4. Completed the Anti-Terrorist Screening
5. Secure cash flow projection from grantee and determine amount of initial advance
6. Determined reporting requirements based on risk rating
7. Determined other monitoring requirements
8. Determined disbursement schedule based on reporting requirements and risk rating
9. Established the period of performance

Based on the above items, the final steps are as follows:

==> Draft the agreement for final review and approval incorporating the elements noted above.

==> Upload the final draft agreement in GEM and proceed to the next step: Final Approval.

8. Securing Final Approval and Signatures

Grant Agreement Review and Approval Requirements		
Amount of Grant	Review Process	Notes

Grant Agreement Review and Approval Requirements		
Amount of Grant	Review Process	Notes
\$20,000 or less	Reviewed by program following guidelines noted below	Must use one of the standard templates
\$20,001 or more	Grants Policy and Management review and approval required	Must use one of the standard templates
Any amendment to a grant that changes the grant amount	Amendment routed the same as the original agreement and according to threshold noted above	
Exceptions		
Standard template changed or not used	GCO review & approval required	
CEPF	Has been delegated authority to review grants up to \$250,000	Must use standard template
S&K	Has been delegated authority to review grants up to \$250,000	Must use standard template
Brazil	Has been delegated authority to review grants up to \$250,000	Must use standard template
Bolivia	Has been delegated authority to review grants up to \$100,000	Must use standard template

Review Process for External Grants ≤ \$20,000:

Grants Policy and Management review is not required if the standard template is used with no changes. In this case, the program's Grant Manager uses the checklist below to ensure that all risk and financial questions have been addressed.

1. The scope of work is well documented and contributes to CI's mission.
2. Donor restrictions/requirements are appropriately considered.
3. If the scope of work includes lobbying, it is an activity allowed by the donor.
4. There are no violations of the Foreign Corrupt Practices Act (FCPA).
5. No Political Activities are being funded (they are prohibited).
6. Any Conflict of Interest issues have been cleared.
7. There is a detailed budget tying to the scope of work and a budget narrative is attached.
8. The disbursement schedule is consistent with guidelines outlined in Chapter 7.
9. The financial reporting requirements are consistent with guidelines outlined in Chapter 7.
10. The grant amount matches the budget noted in the agreement.
11. Anti-terrorist screening has been conducted (Grants Policy and Management carries out this screening. See Chapter 5.)
12. The period of performance is correct.

Securing Final Signatures

Once the Grants Policy and Management reviews and approves, then the final signatures of the Grantee's and CI's authorized representatives can be secured. See Signature Authority Policy. When both signatures have been secured, the grant is considered approved.

9. Managing a Grant

When both signatures have been secured on the grant agreement, the grant is considered approved. The grant commitment will then be booked, the work can begin, and payments can be made as outlined in the agreement.

Recording the Commitment

Once the grant is approved, accounting staff will be notified via GEM that a commitment (the full amount of the grant) is ready for booking. Accounting will make the entry into Oracle. All commitments are booked to GL account 5500. See 4. Budget Development for guidance on minimizing currency translation variances.

Scheduling Reporting and Other Requirements

The grant agreement includes deadlines for submitting financial and technical reports. In GEM, a program can set up the reporting deadline(s) in order to track whether a grantee is complying with the reporting requirements set forth in an agreement. The program can also schedule and record events such as programmatic/technical or financial site visits.

For USG funded grants, all technical and financial reports from grantees must be attached in GEM. Grants Policy and Management needs access to these reports to complete the reporting and monitoring requirements of the USG donors.

For external grants funded by other donors, posting grantee reports in GEM is optional. However, it is recommended that programs take full advantage of this feature in order to facilitate and document internal monitoring and reporting processes.

Financial Monitoring and Reporting

The program manages the grant by monitoring the grantee's technical and financial performance; tracking progress and completion for deliverables; monitoring financial risk; making payments and ensuring adequate follow up to any issues that arise. The program should be sure to document issues identified and follow-up measures taken.

The extent of financial monitoring conducted by CI and financial reporting required of a grantee is dependent on the risk rating associated with the grantee and the requirements of CI's donor.

There are four activities that CI may conduct or require to fulfill its obligation to demonstrate that it has performed sufficient financial oversight of the grantee:

1. Financial Progress Reports
2. General Ledger and Receipt Documentation
3. Independent Audits
4. Financial Desk Reviews

5. Financial Site Visits

Financial Progress Reports

The Grantee must submit financial reports no less frequently than as set forth in the Financial Reporting Grid. (See 7. Preparing a Grant for Institutional Approval). If the start date of the grant falls in the middle of a reporting period the first financial report should include the remainder of that reporting period and the next full reporting period. For example, if an agreement requiring quarterly reports begins on 15 May, the first financial report would cover the period from 15 May through 30 June, and would be due 30 days later (or 31 July).

The Grantee's financial report should include the budget from the grant agreement, and detailed expenditures against these line items. Financial reports should include prior period expenses, current period expenses, total expenses to date, budget balance, projected cash needs for the next period and information on match. A standard has been designed. Use or modify this template as needed.

Program staff will analyze financial reports for accuracy and reasonableness in light of the project's progress to date and will closely monitor the rate of spending. The start and end dates of an agreement are very important, since expenses incurred before or after these dates generally cannot be charged to the agreement.

- **Cost Share / Match:** Documenting the fulfillment of any match requirement is important and requires significant follow through. For grants requiring cash or in-kind contributions, the managing program must incorporate these requirements into the award agreement via the budget, and regularly collect and verify the match reports from grantees. Match information should be included in the regularly scheduled financial progress reports. As stated above, for USG funded grants, all technical and financial reports from grantees must be attached in GEM. This includes the match reports received from the grantees. Grants Policy and Management needs access to these reports to complete the reporting and monitoring requirements of the USG donors. For more information on what counts as cost sharing, see Cost Share (or Match) Requirements.

- **Lobbying:** If the grantee's responsibilities include lobbying, the grantee must track the hours and resources spent on this activity. The grantee should include this information as part of its regular financial reporting to CI. For help on defining what constitutes lobbying see Lobbying Policy or consult with the GCO.

Ledger and Receipt Documentation

CI reserves the right to request copies of the general ledger or receipts from any grantee in order to better monitor expenses.

Independent Audits

When independent financial statements audits are required according to the Financial Reporting Grid, they are due to CI within 120 days following the close of the grantee's fiscal year. The cost of independent financial statements audits would in most cases not be covered under the grant. When independent project audits are required according to the Financial Reporting Grid, they are due to CI 120 days following the end of year budget year. The cost of independent project audits should be covered under the grant and included in the grantee's budget. If there are material audit findings wherein

expenditures failed to comply with provisions of the grant agreement, the grantee shall reimburse CI for any expenditures(s) disallowed by the auditors.

In addition, CI reserves the right under the Standard Provisions to request a project audit at any time during or at the close of the grant.

Financial Desk Reviews and Site Visits – Purpose and Process

As part of CI's efforts to build and maintain strong relationships with partners and promote financial accountability, each year Grants Policy and Management develops a desk review and site visit schedule identifying the grantees that will receive a formal, CI-mandated financial desk review or site visit. The purpose of this review or visit is to review the accounting and financial management practices of the grantee, to identify any capacity building needs, and to ensure that proper financial controls are in place. All desk reviews and visits are documented in detailed reports. Desk review and site visit results may trigger a re-evaluation of financial risk.

Note: These desk reviews and site visits do not substitute for any site visits that the program may make to the grantee to assess programmatic or financial progress. Grants Policy and Management and the programs should coordinate to be sure these efforts do not conflict or send mixed messages to the grantee. Programs are requested to contact Grants Policy and Management for further guidance before conducting a financial site visit.

Central concepts:

- CI must carry out its fiduciary responsibilities to its donors by visiting a subset of grantees annually.
- The list of grantees to be visited will be developed through a process that involves Grants Policy and Management and program staff using criteria such as risk rating, award value, cash received to date, issues identified through prior desk reviews, visits or in other ways, and source of funds with greater focus on grantees receiving US Government funds.
- Programs are invited to recommend grantees to be visited and the list is vetted with programs before it is finalized.
- Desk reviews and site visits will be made in coordination with the grant-making program.

In preparing for and conducting the desk review or site visit, Grants Policy and Management follows these steps:

1. Finalize the date of the desk review or visit (including coordination with the program funding the grantee, the relevant regional program (if different from the granting program) and the grantee).
2. Send Site Visit Notification Letter to the recipient and the responsible program.
3. Review the information on file about the grantee including Financial Questionnaire, Risk Assessment, Grant Agreement, Financial & Technical Reports.
4. Perform the desk review or site visit using the Desk Review Worksheet or the Financial Site Visit Handbook (attached below).

Post Desk Review and Site Visit Steps

During the desk review or site visit issues may be identified that need follow-up and/or trigger a review of the financial risk rating. Issues and recommendations are documented in the Desk Review or Site Visit

report. The general process is as follows:

1. If material irregularities that contain significant risk and require immediate attention are identified, the person from Grants Policy and Management who is conducting the risk assessment determines next steps.
2. Within 2 weeks of completing the Desk Review or returning from the Site Visit, the staff person making the visit does the following:
 - completes the Desk Review or Site Visit Report, which shows (1) observations with recommendations, (2) suggestions for capacity building, (3) required actions, and (4) internal (CI only) remarks.
 - notifies program that the report has been completed.
 - sends a copy of the Grantee Section of the report to the grantee after program has acknowledged receipt of report. (If no acknowledgement is received from the program, the report will be sent to the grantee one week after it was submitted to the program.)
3. If recommendations, suggestions for capacity building or required actions are noted in the Desk Review or Site Visit Report, the grantee is asked to respond in writing within 30 days to Grants Policy and Management, which will distribute copies of the response to the program. This response must include a plan to address any "required actions."
4. Once the response from the grantee is received, Grants Policy and Management schedules a meeting (by phone or in person) with the program grant manager and the staff responsible for the visit. Together they review the Desk Review or Site Visit Report and the grantee's response and jointly agree on a course of action. In the case of a grantee receiving funds from multiple CI sources, grant managers from more than one unit may be involved.
5. Grants Policy and Management maintains a file of all required actions and periodically contacts the program grant manager to ensure follow up and offer assistance.

The managing program's role is to follow up with the grantee on recommendations and suggestions for capacity building as follows:

- Take initiative to remedy the situation.
- Involve the GCO and Grants Policy and Management as appropriate.

Grants Policy and Management role is as follows:

- Adjust the risk rating based on the Desk Review or Site Visit Report. A report with no significant findings may result in a lowering of the risk rating, while a report with significant findings could mean that the risk rating is raised.
- Coordinate response to required actions when more than one CI program is providing grant funding.
- Be available to work with program staff to address issues identified.
- Link program staff with other resources/expertise needed to address issues (i.e., Regional Finance, Accounting Staff, External Auditors, etc.)
- Schedule follow-up site visit if appropriate.

Reviewing Technical Reports and Making Programmatic Site Visits

All reports submitted by the grantee must be reviewed and acknowledged within a reasonable timeframe. Any issues that are identified should be discussed with appropriate CI staff and directly with the grantee. Key questions that the reviewer should bear in mind include:

- o Is the period of the report accurately indicated on the report?
- o Does the report contain an adequate level of detail to describe activities accomplished during the period?
- o If any planned activities were not accomplished, have they been rescheduled and explained?
- o Do activities from this reporting period present sufficient changes or concerns that an amendment should be considered?

Programmatic site visits are useful to confirm activities and progress reported to date through technical reports. CI staff can assess the grantee's capacity to continue implementation as planned and review or identify any potential constraints to success. Programmatic site visits should result in a brief written summary of the visit containing recommendations, concerns and follow-up steps. Visits may be scheduled and recorded in GEM.

Requesting and Making Payments

For grantees, anti-terrorist screening must be completed prior to making any initial payments; GEM will require that you complete this step. For any US-based grantee, a completed W8 or W9 form MUST be submitted to Accounting before a payment can be processed. After the commitment is booked, payments can be made as outlined in the grant agreement and following the guidance below.

GEM will facilitate making payment requests by populating various fields in a Payment Request Form, using data from GEM as well as data input for each payment request, and enabling a user to email the payment request to the person authorized to approve the payment.

Initial Payment or Lump Sum Payment

The amount of the initial payment, or in rare cases, lump sum payment, is taken directly from the grant agreement and is based on a cash flow projection submitted by the grantee. The initial payment is usually made as soon as the grant is signed and the commitment booked. To authorize payment, the program will submit a payment request to its finance department following the procedures for that office.

Subsequent Payments

After the initial payment, subsequent payments are made following the receipt of technical and financial reports and are based on the grantee's reconciled cash flow projection for the coming period. To request a payment, the program's grant manager must first certify that he/she has reviewed the financial report and confirmed the following:

- o Grantee's financial report totals are correctly calculated
- o Grantee is reporting against the correct budget
- o Cash Received to date is reconciled
- o Variances from original budget are explained and/or reasonable
- o Expenses appear reasonable given the progress of the corresponding work
- o Cash request for following period is reasonable, does not exceed the total amount, and allows for final payment

Once these items have been confirmed, the program's grant manager can authorize payment by following his/her office's normal payment request procedures.

Final Payment

The amount or % of the final payment is taken from the grant agreement. Usually 10% of the grant amount is withheld until the project is complete. A final payment should only be requested when all required reports and deliverables have been submitted to CI. In some cases, a final payment may be issued before the project is completed (if the grantee has a good track record, the project is progressing well, and the project is 80% or more complete) when the grantee indicates that full payment is required to complete the deliverables. This should be the exception rather than the rule, and is generally only done with smaller grants and grantees that do not have sufficient cash flow to cover up front costs.

10. Amendments and Adjustments

When should an agreement be amended?

An agreement should be formally amended any time one or more of the following will be different than as stated in the original (or current) version of the agreement:

1. Effective dates -- most commonly, the end date
2. Amount of funding -- most commonly, to add funding
3. Scope of work -- when the project itself, or the partner's role, has changed. (Seek Agreement Officer's prior approval in the case of activities funded by a USG award).
4. Change in reporting requirements
5. Change in disbursement schedule

To access an amendment template, click here: [Agreement Amendment](#)

Do amendments require GCO or Grants Policy and Management review?

Only if...	Review Process
the grant amount has been changed	* the amount determines the review process * follow 8. Securing Final Approval and Signatures

Be sure to change the information in GEM to reflect the amended agreement.

Adjustments - other changes not requiring formal amendment

During the life of any project, circumstances may change. The following types of changes, while wise to confirm in written correspondence with the grantee, do not require a formal amendment, (re)review and (re)signature:

- Banking information
- Variances between line items in the grantee's overall proposed expenditure budget
- CI project director

- Financial reporting requirements due to the results of an updated risk assessment or site visit
- Payment schedule

Adjustments do not require GCO or Grants Policy and Management review. Adjustments will be tracked in GEM to provide a paper/audit trail for changes.

11. Close Out

All external grants should be closed out within 90 days of the completion of the agreement.

At least 60 days prior to close out, the CI program should send the grantee a Pre-Close Out Letter, reminding them to submit final deliverables and to fulfill other closeout-related obligations.

Use the two checklists below to ensure that all necessary steps have been taken.

Once the period of performance has ended, the program will close the grant verifying that:

1. All deliverables have been completed.
2. All progress, final and audit financial reports have been submitted and were in full compliance with contract requirements.
3. All progress and final technical reports have been submitted and met expectations.
4. Expenditures were made in accordance with the approved budget.
5. Any real and personal property has been properly accounted for and title has been finalized.

Once these have been verified, the program will:

1. Send a Close-Out Letter to grantee regarding official notification that the grant is complete.
2. Ensure that the total grant amount has been accounted for: the final payment has been issued; any remaining money has been returned, and that amount de-obligated on CI's books; or the grant has been amended to allow any remaining funds to be spent on additional activities.
3. For projects funded by the US Government, forward the grantee's final report to Grants Policy and Management. Grants Policy and Management is responsible for verifying the information and including it in CI's required reporting to the US Government.
4. Mark grant as closed (completed) in GEM.

Cash Flow Projection

Grantee Name:

Project Title:

Obligated Amount:

Month 1

Month 2

Month 3

PROJECTED EXPENSES

Salaries and Benefits

Professional Services

Occupancy

Telecommunications

Postage and Delivery

Supplies

Furniture and Equipment

Maintenance

Travel

Meetings and Special Events

Miscellaneous

Sub-Grants

Total Direct Expenses

-

-

-

Indirect Costs (if applicable)

Total Projected Expenses

-

-

-

Opening Balance

Advances Received

Expenses Reported

Cash on Hand

Advance Requested

Month 4

TOTAL

-
-
-
-
-
-
-
-
-
-

-

-

-

-

-

-

-

-

Cash Flow Projection

Grantee Name:

Project Title:

Obligated Amount:

Exchange Rate:

	Month 1	Month 2	Month 3
	(in local currency)	(in local currency)	(in local currency)
PROJECTED EXPENSES			
Salaries and Benefits			
Professional Services			
Occupancy			
Telecommunications			
Postage and Delivery			
Supplies			
Furniture and Equipment			
Maintenance			
Travel			
Meetings and Special Events			
Miscellaneous			
Sub-Grants			
Total Direct Expenses	-	-	-
Indirect Costs (if applicable)			
Total Projected Expenses	-	-	-
Opening Balance			
Advances Received			
Expenses Reported			
Cash on Hand			
Advance Requested			

Budget Worksheet Instructions

Salaries and Benefits:

- **Regular Full Time Employees**
Most employers define full-time employees as those who work a regularly work week. These employees typically are entitled to benefits such as paid sick leave and vacation and insurance coverage. This classification is not related to the percentage of their time spent on this project. Enter gross of salary and benefits for each employee and indicate percentage level of effort.
- **Part Time Employees**
Part-time employees are any employees who work less than a full-time schedule and may receive some benefits. Temporary employees may work either a full or part-time schedule but are usually hired for a specific project or for a finite period of time and do not receive any benefits. This classification is not related to the percentage of their time spent on this project. Enter gross salary and benefits for each employee and indicate percentage level of effort.

Professional Services:

- **U.S. Consultants**
Enter fees for individuals/independent contractors (US citizens, Green Card Holders or US entities).
- **Non-U.S. Consultants**
Enter fees for individual/independent contractors (non-US citizens, non-Green Card Holder or non-US entities).
- **Audit Fees**
Enter fees for external auditor services.
- **Legal Services**
Enter fees for lawyer services.
- **Other Professional Services**
Enter fees for other professional services not shown above.
- **Printing Services**
Enter fees for outsourced printing services.

Occupancy:

- **Rent**
Enter rental cost for office space.
- **Storage**
Enter fees for off-site storage of files or inventory services.
- **Building maintenance/Utilities**
Enter cost of building repairs and utilities.

Telecommunications:

- **Voice**

Enter fees for telephone lines, monthly service charges, local, long distance and international charges.

- **Data**
Enter fees for data used for internet connectivity and monthly internet provider charges.

Postage and Delivery:

- **Delivery services**
Enter fees for courier or messenger services.
- **Postage**
Enter fees for stamps, large mailings via the postal service.
- **Freight**
Enter fees for shipping large items.

Supplies:

- **Office Supplies**
Enter cost of supplies used in the office.
- **Field Supplies**
Enter cost of supplies used in the field.
- **Software**
Enter cost of computer software.
- **Hardware/Computer Supplies**
Enter cost of computer supplies such as harddrives, CD's, etc.

Furniture and Equipment:

- **Furniture and Equipment <USD 5,000**
Enter cost of items such as desks, chairs, computers, printers, etc. with a unit cost of less than USD 5,000.
- **Furniture and Equipment >USD 5,000**
Enter cost of items such as desks, chairs, computers, printers, etc with a unit cost or aggregate cost greater than USD 5,000.
- **Construction Materials**
Enter cost of materials and tools used in the construction/renovation of project site or office.

Maintenance:

- **Furniture/Equipment Maintenance**
Enter cost of maintenance agreements on computers, copiers, phone, fax machines, etc.
- **Software Maintenance**
Enter cost of maintenance/license agreements on software.
- **Vehicle Maintenance**
Enter cost of vehicle repair.

Travel:

- **Lodging, Meals and Incidentals**
Enter cost accommodation, food and other travel costs.
- **Travel Insurance**
Enter cost for travel insurance for employees.
- **Local Transportation**
Enter cost for local public transportation, such as taxi, bus and ferry fares.

Meetings and Special Events:

- **Meetings and Special Events**
Enter cost of workshops and conferences.
- **Training**
Enter cost for professional development of project staff.

Miscellaneous:

- **Liability Insurance**
Enter cost of “business”, vehicle and boat insurance (not employee insurance).
- **Taxes and Licenses**
Enter cost of “business” taxes and licenses necessary to operate (not tax on salaries).

Sub-Grants:

- **Sub-Grants**
Enter the total amount of funds awarded to other not-for-profit organization.

Exchange Rate:

Budget Worksheet

Grantee Name:

Project Title:

Category	Unit Cost	Year 1	Year 2	Year 3	Total Funds Requested	Grantee Matching Funds	Total Budget
Salaries and Benefits							
Salaries and Benefits							
Full Time Employee #1		-	-	-	-	-	-
Full Time Employee #2		-	-	-	-	-	-
Part Time Employee #1		-	-	-	-	-	-
Part Time Employee #2		-	-	-	-	-	-
Total Salaries and Benefits		-	-	-	-	-	-
Professional Services							
U.S. Consultants		-	-	-	-	-	-
Non-U.S. Consultants		-	-	-	-	-	-
Audit Fees		-	-	-	-	-	-
Legal Services		-	-	-	-	-	-
Other Professional Services		-	-	-	-	-	-
Printing Services		-	-	-	-	-	-
Total Professional Services		-	-	-	-	-	-
Occupancy							
Rent		-	-	-	-	-	-
Storage		-	-	-	-	-	-
Building Maintenance/Utilities		-	-	-	-	-	-
Total Rent and Storage		-	-	-	-	-	-
Telecommunications							
Telecommunications; Voice		-	-	-	-	-	-
Telecommunications; Data		-	-	-	-	-	-
Total Telecommunications		-	-	-	-	-	-
Postage and Delivery							
Delivery Services		-	-	-	-	-	-
Postage		-	-	-	-	-	-
Freight		-	-	-	-	-	-
Total Postage and Delivery		-	-	-	-	-	-
Supplies							
Office Supplies		-	-	-	-	-	-
Field Supplies		-	-	-	-	-	-
Hardware/Computer Supplies		-	-	-	-	-	-
Books and Subscriptions		-	-	-	-	-	-
Software		-	-	-	-	-	-
Total Supplies		-	-	-	-	-	-
Furniture and Equipment							
Furniture and Equipment <\$5,000		-	-	-	-	-	-
Furniture and Equipment >\$5,000		-	-	-	-	-	-
Construction Materials		-	-	-	-	-	-
Vehicles and Boats		-	-	-	-	-	-
Total Furniture and Equipment		-	-	-	-	-	-
Maintenance							
Furniture and Equipment Maintenance		-	-	-	-	-	-
Software Maintenance		-	-	-	-	-	-
Vehicle Maintenance		-	-	-	-	-	-
Total Maintenance		-	-	-	-	-	-
Travel							
Lodging, Meals and Incidentals		-	-	-	-	-	-
Airfare		-	-	-	-	-	-
Travel Insurance		-	-	-	-	-	-
Local Transportation		-	-	-	-	-	-
Fuel		-	-	-	-	-	-
Total Travel		-	-	-	-	-	-
Meetings and Special Events							
Meetings and Special Events		-	-	-	-	-	-
Training		-	-	-	-	-	-
Total Meetings and Special Events		-	-	-	-	-	-
Miscellaneous							
Liability Insurance		-	-	-	-	-	-
Taxes and Licenses		-	-	-	-	-	-
Gain/Loss on Foreign Exchange		-	-	-	-	-	-
Total Miscellaneous		-	-	-	-	-	-
Sub-Grants							
Sub-grantee Expenses		-	-	-	-	-	-
Total Sub-Grants		-	-	-	-	-	-
Total Direct Costs		-	-	-	-	-	-
Indirect Cost or Admin Fees (if applicable) & Rate	0.00%	-	-	-	-	-	-
Total Costs		-	-	-	-	-	-

Initial Cash Flow Projection

Grantee Name:

Project Title:

Exchange Rate:

0

	Month 1 (in local currency)	Month 2 (in local currency)	Month 3 (in local currency)	Month 4 (in local currency)	TOTAL (in local currency)	TOTAL (in USD)
PROJECTED EXPENSES						
Salaries and Benefits						#DIV/0!
Professional Services					-	#DIV/0!
Occupancy					-	#DIV/0!
Telecommunications					-	#DIV/0!
Postage and Delivery					-	#DIV/0!
Supplies					-	#DIV/0!
Furniture and Equipment					-	#DIV/0!
Maintenance					-	#DIV/0!
Travel					-	#DIV/0!
Meetings and Special Events					-	#DIV/0!
Miscellaneous					-	#DIV/0!
Sub-Grants					-	#DIV/0!
Total Direct Expenses	-	-	-	-	-	#DIV/0!
Indirect Costs (if applicable)					-	#DIV/0!
Total Projected Expenses	-	-	-	-	-	#DIV/0!
Initial Advance Requested					-	#DIV/0!



FINANCIAL QUESTIONNAIRE
FOR
CONSERVATION INTERNATIONAL GRANT RECIPIENTS

The purpose of this questionnaire is to provide CI with information needed to assess the adequacy of your organization's accounting policies and procedures and grants management practices.

Prior to any grant award, CI must be assured that the proposed grantee has sound financial controls and reporting systems to ensure that all CI funds are expended prudently and accounted for appropriately. CI must also be assured that the proposed grantee institution is able and willing to comply, and (as applicable) is able and willing to ensure compliance by any sub-grantees, with CI policies, applicable donor terms and conditions, and local laws and regulations. CI may condition funding on the implementation of certain practices or improvements.

Each question should be answered as completely as possible. There is a glossary at the end of this form if you need help with some of the financial terms. It is very important that the questionnaire is signed by the organization's head and most senior financial manager (see section G). If you are submitting this questionnaire electronically, please include a scanned copy of the signature page or fax the signature page.

All information submitted to CI in this form and through the requested attachments will be treated as confidential and will not be disclosed to any third parties, unless required by law.

CONTACT INFORMATION

Organization Name: _____
(legal name of organization that will sign the agreement and accept responsibility for CI's funds, if awarded)
Web Address: _____
Address: _____
Telephone: _____
E-mail: _____
Director/President: _____
Project Manager: _____
Financial Officer: _____
(will be responsible for authorizing financial transactions and reports for this project)
Project Accountant: _____
(will account for project expenses)

Does any employee, director, or trustee of the organization, or any of their family members have a financial or familial relationship with any CI employee, CI director, or a family member of a CI employee or CI director? [] Yes [] No

If yes, please explain:

Proposed Grant Amount: _____ Start Date: _____ End Date: _____

SECTION A: General Background Information

1. Number of Paid Employees: _____ Full Time: _____ Part Time: _____

2. Please specify the legal status/classification of your organization:

- | | | |
|---|--|---|
| <input type="checkbox"/> NGO/Not-for-profit organization | <input type="checkbox"/> Government Organization | <input type="checkbox"/> Parastatal Agency |
| <input type="checkbox"/> For-profit/commercial enterprise | <input type="checkbox"/> State-owned University | <input type="checkbox"/> Private University |
| <input type="checkbox"/> Individual | <input type="checkbox"/> Other _____ | |

3. Please specify the tax status of your organization:

- | | | |
|--|--|--|
| <input type="checkbox"/> Non-US, Tax-exempt | <input type="checkbox"/> Non-US, Taxable | <input type="checkbox"/> US, Tax-exempt, 501 (c) (3) |
| <input type="checkbox"/> US, Tax-exempt, 509 (a) () | <input type="checkbox"/> US, Taxable | <input type="checkbox"/> Other _____ |

4. Please indicate your Tax Identification Number (for non-US organizations) or your Employer Identification Number (for US organizations): _____

5. Beginning and ending dates of your organization's fiscal (financial) year: _____

6. Total Budget for most recent fiscal year:

Revenues (including grants): USD _____ Expenses: USD _____

7. What are the sources of the organization's revenue? Please select all that apply:

- | | | |
|---|---|--|
| <input type="checkbox"/> US Government | <input type="checkbox"/> Domestic Government | <input type="checkbox"/> Other Governments |
| <input type="checkbox"/> Foundations/Corporations/Individuals | <input type="checkbox"/> Sale of Goods/Services | <input type="checkbox"/> Membership Fees |

8. Does your organization currently have outstanding debts to government or other parties? Yes No

9. Is your organization, its key staff, officers or directors involved in any investigation, litigation, or adjudication or have any of these people been adjudicated in the past for any civil, administrative, criminal or tax matters? Yes No

If yes, please explain:

10. Is the project manager, accountant, or any other staff involved in other CI funded projects? Yes No

If yes, please provide the person's name and project title.

11. Has the organization received grants from other organizations? If so, please provide details of the 3 most recent awards including name of grantor, source of funds, amount, period covered, and project manager and financial officer.

Project Title	USD Grant Amount	Grantor/Donor
1.		
2.		
3.		

Grant Period	US Gov't funds?	Project Manager	Financial Officer
1.	<input type="checkbox"/> Yes <input type="checkbox"/> No		
2.	<input type="checkbox"/> Yes <input type="checkbox"/> No		
3.	<input type="checkbox"/> Yes <input type="checkbox"/> No		

12. Does the organization expect to receive other grants during the proposal period of this project? If so, list the organizations that have your proposals under review and the titles of the projects submitted for their review:

Project Title	USD Amount	Project Manager	Financial Officer
1.			
2.			
3.			

SECTION B: Internal Controls

Internal controls are procedures which ensure that: 1) financial transactions are approved by an authorized individual and follow laws, regulations and the organization's policies, 2) assets are kept safely, and 3) accounting records are complete, accurate and kept on a regular basis. Please complete the following questions concerning your organization's internal controls:

1. Indicate which of the internal controls listed below are in place at your institution:

- a. Documented competitive system of procurement for major purchases (e.g., if your organization plans to acquire new equipment, it requests written bids from at least three (3) vendors):

Who approves procurement in your organization?

Name: _____ Title: _____

- b. Maintenance of an inventory system for fixed assets (for example, serial numbers and locations of all computers/equipment are listed and maintained in a file) Yes No

- c. Physical Control over assets

Cash kept in safe	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Office locked up at night/Guards	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Limits on cash withdrawals	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Insurance	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Other (<i>specify</i>)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

2. If a grant were awarded for this project, who would be responsible for:

- | | | |
|---|--------------|---------------|
| a. requesting payments? | (Name) _____ | (Title) _____ |
| b. approving requests for payments? | (Name) _____ | (Title) _____ |
| c. issuing payments? | (Name) _____ | (Title) _____ |
| d. reconciling accounts? | (Name) _____ | (Title) _____ |
| e. preparing project financial reports? | (Name) _____ | (Title) _____ |
| f. approving project financial reports? | (Name) _____ | (Title) _____ |

3. Is there any familial relationship between any of the employees listed above? Yes No

4. How frequently does management at your organization's Headquarters review and reconcile cash reports, cash balances (including petty cash) and bank statements from all operations?

once a week once a month once a quarter once a year

Who reviews these reports? Name: _____ Title: _____

5. Does your organization maintain an employment letter or contract which includes the terms of reference and salary information for each employee? Yes No

6. Are individual time and effort records kept which reflect employee actual hours worked on a particular project? Yes No

In case of a grant award, the project employees will be required to document time spent on the project activities on a daily basis.

SECTION C: Accounting System

The purpose of an accounting system is to: 1) accurately record all financial transactions, and 2) ensure that all financial transactions are supported by invoices, timesheets and other documentation. The type of accounting system often depends on the size of the organization. Some organizations may have computerized accounting systems, while others use a manual system to record each transaction in a ledger. In either case, CI grant funds must be properly authorized, used for the intended purpose and recorded in an organized and regular manner.

1. Does your organization have a written accounting policies and procedures manual? Yes No

2. Is your accounting system an automated double-entry system? Yes No
If yes, please name accounting software package

3. a. Is your accounting system able to identify the receipt and expenditures of funds separately for each contract/grant? Yes No

b. If you answered "Yes" to question 3.a., explain how your accounting system is able to identify and segregate expenditures by contract/grant.

In case of a grant award, your organization will be required to track the grant receipts and expenditures separately from other organizational funds and other grants/contracts.

4. Does your accounting/financial procedures include budgetary controls to prevent incurring obligations greater than:

a. total funds available for a grant? Yes No

b. funds approved for a particular budget line (personnel, travel, etc.)? Yes No

5. For how long does your organization maintain support documentation (receipts, invoices, purchase orders, etc.) for all transactions? _____

6. Does your organization backup its accounting data on a regular basis? Yes No

7. Does your organization utilize the accrual or cash method of accounting? _____

SECTION D: Funds Control

CI grantees that receive advances of grant funds may deposit them in a bank account kept in local currency or U.S. dollars. CI normally pays grantees periodically by wire transfer of U.S. dollars to the grantee bank account. Access to the bank account must be limited to authorized individuals. Bank balances should be compared each month with your accounting records. If cash cannot be kept in a bank, it is very important to keep the cash in a strong safe and have strict controls over cash custody and disbursement.

1. Does your organization have a bank account in the name of your organization to which grant payments could be made by wire transfer in the event of a grant award? *If yes, attach details of account.* Yes No

3. Are all bank accounts and check signers authorized by the organization's Board of Directors or Trustees? Yes No

4. Are the majority of payments to vendors/suppliers made in cash? Yes No

SECTION E: Independent Audit

CI may require an audit of your organization's accounting records. An audit is a review of your accounting records by an independent accountant who works for an accounting firm. An audit report contains your financial statements as well as an opinion by the accountant that your financial statements are correct. Please provide the following information on prior audits of your organization.

1. Does your organization have regular external audits which you contract and pay for? Yes No

If yes, who performs the audit? _____

2. How frequently are audits performed? Quarterly Yearly Every 2 years Other _____

Indicate when last audit was performed _____

3. What type of audit is performed? Financial A-133 Program Other _____
-

SECTION F: Sub-grantee Policy

A sub-grant represents financial assistance in form of money, or property in lieu of money, made under the main award to another organization in order to achieve a defined scope of work.

1. Will your organization be providing funds from the proposed grant to any other organization(s) through sub-agreements? Yes No

If yes, please answer the following questions. Otherwise, proceed to the next section.

2. Provide the number and size of the sub-agreements you plan to administer under the proposed grant.

Sub-grantee Name	USD Amount
1 .	
2 .	
3 .	

3. Does your organization have a history of managing sub-grantees? Yes No
4. Does your organization have written sub-grantee monitoring policies and procedures? Yes No
5. Does your organization have a standard agreement template? Yes No
-

SECTION G: CERTIFICATION

The Accounting Questionnaire **must** be signed and dated by authorized personnel who have either completed or reviewed the form.

I certify to the best of my knowledge and belief that the information provided in this questionnaire and the supporting data are correct.

Director of Organization:

Print Name

Signature

Title

Date

Financial Officer:

Print Name

Signature

Title

Date

ATTACHMENTS

Please attach all of the following documents (where available) and any other information you deem relevant on the subjects listed above:

- Materials that describe your organization, its mission and history
- Incorporation or registration certificate
- List of all the current members of the Board of Directors
- IRS determination letter (for US organization)
- Most recent financial statements (balance sheet and income statement)
- Most recent independent auditor's report and Management Letter (if available)
- Completed U.S. Internal Revenue Service form: W9 form for US entities and individuals; W8 form for international non-US entities and individuals (W8BEN for individuals; W8BEN-E for entities; W8BEN-EXP for 501(c)(3) corporations that have letter from IRS granting an exception)
- If answered "Yes" to Question #8 in Section A, please provide the following: explanation of the nature of occurrence (originating and current date, most recent statement: why incurred, methods on prospects of repayment, if any; any additional relevant information.)

CI GLOSSARY OF TERMS

Accrual based accounting system: An accounting system where your financial report shows payments which have been made as well as invoices which have been received but not yet paid.

Actual cost: Any type of expense which has been paid for.

Allowable costs: Expenses which are for grant activities and which are reasonable and legal.

Balance sheet: A report which lists your assets (income to be received, cash, equipment) and your liabilities (payments to be made).

Cash based accounting system: An accounting system where your financial report only shows payments which have been made.

Expenses/Expenditures: Costs charged to the grant.

Financial statement: A report containing your balance sheet, and revenue and expense statement.

Financial report: A report which shows the money which an organization has spent on the grant for the period, usually three months. CI requires a financial report for each three-month period (quarter).

Fiscal year: The financial year of your organization. Most fiscal years are from January 1 to December 31. Other fiscal years end on March 31, June 30, or September 30.

Funds: Money.

Grant: An award given to an organization to complete a project. CI grants are usually for one year.

Grantee: An organization which receives a grant.

Incurred cost: Any type of expense which has been made but not yet paid.

Internal controls: A system set up by an organization to make sure that money is received and spent in the correct manner.

Manual ledgers: Accounting records which are maintained by hand (without a computer) and which record similar transactions such as cash receipts, cash payments, salaries, inventory, etc.

Petty cash: Small amounts of cash used to pay small expenses (taxi, bus, office supplies).

Primary grantee: An organization which receives a grant and which in turn gives part of those funds to another organization to help complete the grant. Primary grantees are responsible for monitoring their subrecipients.

Income statement/statement of activities: A report which shows the money which your organization received (revenue) and how the money was spent (expense).

Subrecipient/Subgrantee/Subawardee: An organization which receives part of a grant given to another organization.

Subrecipient monitoring: What the primary grantee does to make sure that the subgrantee is correctly implementing the grant.

Separate bank account: A bank account in the name of your organization set up for your CI grant. Only CI funds are deposited into the account and only CI program expenses are paid from the account.

Unallowable costs: Unallowable costs are costs prohibited by CI policy, donor policy, CI's grant agreement with grantee recipient, and all applicable laws. Such costs may not be budgeted to and paid for by the grant if awarded.



Security Screening Request Form for External Grants

To reduce risk and ensure compliance with heightened screening requirements of various anti-money laundering (“AML”) and counter-terrorist financing (“CTF”) legislation and AML/CTF related donor obligations, CI is required to conduct due diligence for all CI grantees and service providers (“CI funding recipients”), which includes screening against international sanctions lists. All potential CI funding recipients are therefore asked to complete the Security Screening Request Form (“Form”) before CI can enter into contractual agreements with CI funding recipients.

If a match between a screened name provided in the Form and one of the sanctions lists is identified, CI will request additional information (e.g., address or DOB) on a confidential basis to clear the match and verify funding eligibility.

1. Legal Name of Organization:			
2. Other names/acronyms of the organization:			
4. Members of the Board of Directors: Provide full names in given name(s)/family name(s) format. Do not include titles or positions. Insert additional rows as necessary. Example: Juan Alberto Sanchez Perez			
5. Staff members responsible for organizational management, project oversight, accounting and banking: Provide full names, in given name(s)/family name(s) format. If the organization does not have a person filling a position listed, leave it blank. List a person once only.			
President		Chief Financial Officer	
CEO		Accountant	
Secretary-General		Bookkeeper	
Executive Director		Checks signed by:	
Project Manager		(Other)	
(Other)		(Other)	
(Other)		(Other)	
(Other)		(Other)	
(Other)		(Other)	

By signing this Form, the authorized representative of the Grantee certifies that the information provided herein is true and accurate as of the date of execution. The authorized representative of the Grantee understands that intentional inclusion of false, deceptive or fraudulent information on this Form or any omission of material information with an intent to deceive, constitutes fraud, and that CI considers such action on the part of Grantee to constitute good cause to immediately terminate this contract unilaterally without notice or penalty, notwithstanding any provisions to the contrary in the interpretation of the proposed Grant Agreement by and between CI and the Grantee.

Signature: _____
Name of Authorized Signatory: _____
Title: _____
Date: _____