



# Project Operational Manual

## Critical Ecosystem Partnership Fund - Caribbean Hotspot Project

Updated for Additional Financing  
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# 1. BACKGROUND

## 1.1 CEPF Caribbean Hotspot Project in summary

The project will improve the capacity of civil society organizations (CSOs) to reduce threats to globally important biodiversity in the Caribbean Islands Biodiversity Hotspot.

The project addresses the issue that globally important biodiversity of the Caribbean Islands Hotspot is threatened by overexploitation, habitat loss, and invasive alien species. To do this, it seeks to overcome two key constraints: first that CSOs' capacity to implement conservation actions is constrained by administrative, financial and technical limitations; and second that CSOs' ability to deliver conservation impact at scale is hindered by isolation, lack of coordination and weak dissemination of good practice.

The project makes use of mechanisms established by the Critical Ecosystem Partnership Fund (CEPF), based on two decades of experience with engaging and strengthening CSOs to contribute to the conservation of the global biodiversity hotspots. The first phase of CEPF investment in the Caribbean Islands, from 2010 to 2016, demonstrated that CSOs can make meaningful contributions to the conservation of global biodiversity at a local scale. For instance, CSOs improved the management and protection of 25 Key Biodiversity Areas (KBAs) in eight countries through the development, approval and implementation of participatory protected area management plans that engaged communities and resource users.

Nevertheless, there remain important gaps, challenges and under-addressed threats. These include gaps in policy and legislative frameworks related to such things as environmental impact and strategic environmental assessments and financing mechanisms. Understanding of the economic value of ecosystem services remains limited, they do not appear in national accounting systems, and efforts to finance protected area management are stymied by this lack of information and knowledge. Human pressures on Caribbean island ecosystems are high, in view of the region's high level of dependence on natural resources for economic activities. Threats to biodiversity are intensified by the effects of climate change and climate variability.

The project has five components (described in greater detail in POM1.4):

Component 1: Increased Share of Land and Sea in and around Priority KBAs under Improved Management.

Component 2: Increased Capacity of CSOs in Conservation.

Component 3: Increased Capacity of the Regional Implementation Team (RIT) in Leadership and Coordination of CSO Conservation Actions.

Component 4: Strengthened CSO Partnerships for Conservation.

Component 5: Project Management, including M&E.

## 1.2 Introduction and context

CEPF is a donor partnership, which was created in 2000 to enable civil society to protect the world's biodiversity hotspots: some of the biologically richest yet threatened ecosystems on the planet. By providing grants to civil society, such as nongovernmental, private sector, academic and community-based organizations (CBOs), CEPF implements conservation strategies that are developed with local stakeholders. These investments are especially important because the biodiversity hotspots are home to



millions of people who are impoverished and highly dependent on nature for survival. The fund is a joint program of l'Agence Française de Développement, Conservation International, the European Union, Fondation Hans Wilsdorf, the Global Environment Facility, the Government of Canada, the Government of Japan, and the World Bank. The objective of the World Bank's involvement is to provide strategic assistance to non-governmental and private sector organizations for the protection of vital ecosystems in IBRD borrowing member countries that have ratified the Convention on Biological Diversity.

CEPF protects biodiversity, builds local conservation leadership and nurtures sustainable development by supporting the development of conservation strategies driven by local, national and regional input, and by providing grants to civil society (nongovernmental, private sector, community-based, cooperative, academic and parastatal organizations) to implement those strategies. CEPF's approach combines grant making with capacity building, to allow funds to reach a greater range of actors than conventional donors (grassroots NGOs, community groups, cooperatives, etc.) and to strengthen these actors and create networks among them so that conservation efforts can be sustained into the long term.

Since its inception, CEPF has funded conservation in 25 biodiversity hotspots, investing US\$324 million in grants, and contributing to the improved management of 56 million hectares of KBAs. These hotspots include the Caribbean Islands, where CEPF invested US\$6.9 million during 2010-2016.

During the initial phase of investment, CEPF strengthened the capacity of 58 Caribbean CSOs, which developed strategic plans, fundraising plans, financial manuals and communication strategies, and upgraded their websites and financial systems. Central to these efforts was the role of the RIT, which provided strategic leadership for the program in the hotspot. The RIT role was played by CANARI: a regional, technical, non-profit organisation, which has been working in the Caribbean Islands for more than 30 years. CANARI's mission is to promote and facilitate stakeholder participation in the stewardship of natural resources in the Caribbean.

Building on the results and lessons learned from the previous phase of investment, the World Bank will channel an additional US\$16.25 million contribution to CEPF, using funds provided by the Government of Japan through the Policy and Human Resources Development Trust Fund. This comprises an initial contribution of US\$13.9 million plus US\$2.35 million in additional financing, approved in 2025. This project will focus on biodiversity conservation consistent with the investment strategy set out in the Caribbean Islands ecosystem profile, which was developed through a stakeholder consultation process from January 2017 to March 2018 and approved by the CEPF Donor Council in August 2019.

The island geography and complex geology of the Caribbean Islands has created unique habitats and high species diversity. Sixty-two percent of the Caribbean Islands' plant and animal species are found nowhere else on Earth, and many of them are restricted to a single island. With 992 globally threatened species, the Caribbean is one of the most severely threatened hotspots in the world.

The hotspot's biodiversity is threatened by overexploitation of living resources, habitat destruction and fragmentation due to agriculture, tourism, and industrial and urban development driven by population growth. Only 10 percent of the islands' original vegetation is in a pristine state. Predation and competition by invasive alien species also pose threats, while the hazards and risks of climate change are having increasing impacts on biodiversity and the functions of ecosystems in the Caribbean. The root causes of these threats include poor land-use planning, inadequate financial resources, lack of awareness and political support, weak and ineffective legislation, limited availability of information, and inefficient or

inadequate institutional capacity. Improved management of the hotspot's landscapes, freshwater and coastal ecosystems is essential for sustainable growth and development.

The ecosystem profile for the Caribbean Islands Hotspot identified 167 sites that contribute significantly to the persistence of global biodiversity, known as KBAs, in the countries eligible to receive CEPF support. The majority of these KBAs benefit from some form of protection within designated parks, nature reserves or other protected areas, although a significant proportion is currently unprotected. Even within protected areas, the biodiversity values of most KBAs are threatened by incompatible activities or the effects of invasive species and climate change.

To ensure CEPF investment delivers significant and sustained impacts for biodiversity conservation, the national experts consulted during the ecosystem profiling process used a combination of biological and operational criteria to select priority KBAs from among the 167 KBAs identified in the eligible countries. These criteria included: degree of threat; funding need; management need; civil society capacity; operational feasibility; alignment with national priorities; opportunity for landscape-scale conservation; and potential for continuity of action from the initial phase (see Annexes 17.10 and 17.11).

The small, open economies of the Caribbean Islands are vulnerable to external shocks, such as natural disasters, fluctuating commodity prices in the world market, and volatility in the tourism sector, which is a main income-earning sector in most countries. With most of their populations and key infrastructure in low-lying, coastal areas, the Caribbean Islands are particularly vulnerable to extreme weather events, which can have major economic impacts. For example, one estimate put the cost of Hurricane Maria in September 2017 at 200 percent of Dominica's GDP. As the global climate warms, the risk of extreme weather events is projected to increase.

Climate change also presents risks to the tourism sector, which contributes 20 to 60 percent of the GDP of most countries in the hotspot. Most tourism infrastructure is in the coastal zone, where it is vulnerable to storms, erosion and sea level rise. Natural ecosystems underpin the tourism industry, which creates a positive incentive for their conservation. For instance, coral reefs in the Caribbean have been estimated to provide ecosystem services worth US\$2.1 billion for dive tourism, and a further US\$2.2 billion for coastline protection. If unregulated, however, tourism can become a major threat to biodiversity.

The Caribbean now faces what United Nations Development Programme (UNDP) calls "a distinct challenge amongst developing countries". Persistent low economic growth and slowing human development gains form the backdrop for the region's poverty, including rising multidimensional poverty. Many independent Caribbean states also have high levels of public debt, which results in resources being diverted away from social and environmental spending to debt servicing. As Caribbean states have attempted to "grow" their way out of debt and towards prosperity, there has been heavy reliance on an infrastructure-driven development model that comes at the expense of biodiversity. Although the concepts of "green economy", "green growth" and "blue economy" have been gaining traction in the hotspot, and many national development plans and frameworks acknowledge the importance of biodiversity and ecosystems to human well-being and productive sectors, there is a gap between policy aspirations and implementation. In this context, strengthening the capacity of CSOs is crucial to ensuring that this gap is filled.

### 1.3 Project development objective and theory of change

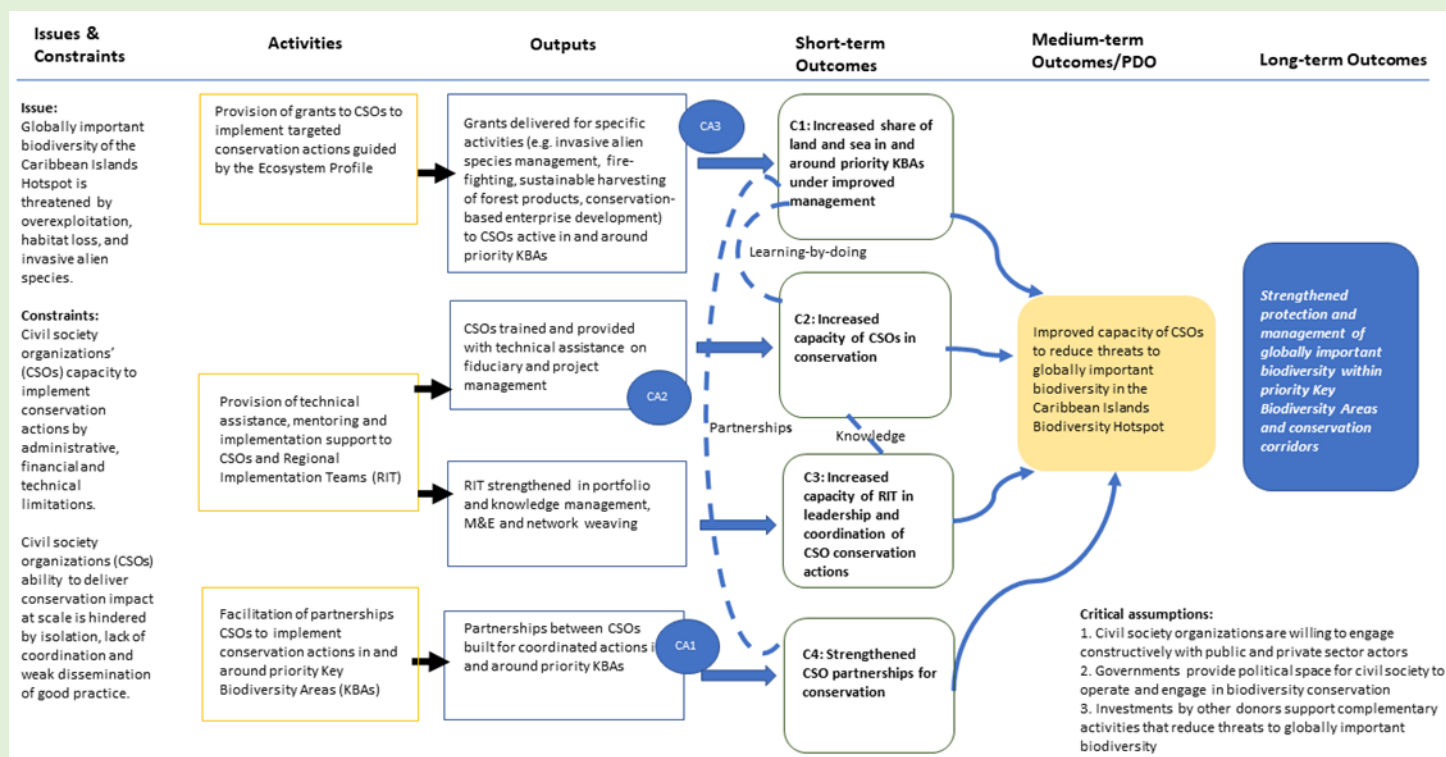
The project development objective (PDO) is to improve the capacity of civil society organizations to reduce threats to globally important biodiversity in the Caribbean Islands Biodiversity Hotspot.

The attainment of the PDO will be evaluated using the following indicators:

- Number of local/regional civil society organizations with increased organizational capacity, as measured by the civil society tracking tool.
- Percentage of civil society networks or partnerships supported to improve collaboration with and coordination among civil, public and private stakeholders.
- Area of priority KBAs within protected areas with improved management, as measured by the Management Effectiveness Tracking Tool (hectares).
- Area of priority KBAs outside protected areas with strengthened management of biodiversity (hectares).

The Theory of Change for the project is based on the following five premises: (i) the Caribbean Islands Biodiversity Hotspot is home to millions of people who are dependent on natural resources for their livelihoods; (ii) habitat protection and biodiversity conservation are important to increase resilience of ecosystems to the impacts of climate change; (iii) engaging with and strengthening local civil society is critical to the long-term success of conservation and sustainable use of biodiversity; (iv) civil society groups can offer innovative ideas and practical solutions to solving local challenges; and (v) collaborative social accountability presents a pragmatic solution for building partnerships of civil society organizations for pragmatic engagement with public and private sector actors for effective biodiversity conservation.

#### Theory of Change for the Project



The primary beneficiaries of the project will be:

- i. *The RIT for the Caribbean Islands Hotspot*, which will be hosted at CANARI. The RIT will receive increased capacity in leadership and coordination of CSO-implemented conservation actions. In particular, the RIT's capacity in portfolio management, knowledge management, monitoring and knowledge management, and network facilitation will be strengthened. The RIT's ability to catalyze funding from institutional donors will also be enhanced, to help sustain impacts beyond the end of the project period.
- ii. *The CSAT for the Caribbean Islands Hotspot*, which will be hosted at INTEC and its partner, Integrated Health Outreach (IHO). The CSAT will benefit from increased capacity in collaborative social accountability, including through exposure to global good practice through the World Bank's Global Partnership for Social Accountability (GPSA).
- iii. *Relevant CSOs in the Caribbean Islands Hotspot*, which will be identified through stakeholder mapping and open calls for proposals. Emphasis will be placed on engaging both professional, capital-city-based CSOs (including NGOs and academic institutions) and grassroots CBOs. These CSOs will benefit from capacity building and technical assistance in a range of areas, including fiduciary and project management, project design, fundraising, and organizational governance. A limited number of international CSOs may be engaged, where they offer unique capabilities that address aspects of the investment strategy set out in the ecosystem profile, but these will not be the focus of capacity building activities.
- iv. *Relevant public sector institutions*, which will be identified through stakeholder mapping. Under Component 4, public sector institutions at the central government level and in target municipalities will receive support to establish collaborative social accountability mechanisms with CSOs for joint problem-solving and monitoring of biodiversity conservation.

The secondary beneficiaries will be:

- i. *Local communities living in and around priority KBAs*. Local communities will benefit from enhanced delivery of ecosystems services and increased resilience to climate change, through reduced threats to and, in some cases, rehabilitation of natural ecosystems. They will also benefit from improvements in environmental resilience as a result of enhanced state-civil society collaboration, policies, and spending in biodiversity conservation. Furthermore, some communities will receive increased income, diversified livelihoods and new employment opportunities through the promotion of sustainable livelihood activities.
- ii. *Public officials and development partners*, who will be exposed to collaborative social accountability processes and other innovative sustainable development models. They will be able to take up elements of these processes and models and apply them in the context of other development policies, plans or decisions.
- iii. *Other key stakeholders*, which include private landowners and other private sector actors. They will have opportunities to participate in project activities, such as policy dialogues, joint problem-solving sessions and implementation of conservation actions.

## 1.4 Project components

**Component 1: Increased Share of Land and Sea in and around Priority KBAs under Improved Management (indicative funding: \$10.27 million).** This component will support a sub-grant mechanism that focuses on building capacity of CSOs to reduce threats to globally important biodiversity in eight

Caribbean Island countries: Antigua and Barbuda; The Bahamas; Dominica; Dominican Republic; Haiti; Jamaica; Saint Lucia; and Saint Vincent and the Grenadines. At the site scale, sub-grants will support conservation actions in and around 43 priority KBAs (Annex 17.10). Collectively, they represent those sites with the highest biological values that are under the most threat, in need of urgent management improvement, and where it is possible to work without major impediments. Calls for proposals will be issued in a manner to attract project ideas that will generate cumulative impacts in a clearly defined geographical area.

Some priority KBAs are too small to support globally important biodiversity and the ecological processes on which they depend into the long term. Consequently, there is a need for complementary conservation actions in the surrounding landscape to buffer KBAs from threats, maintain ecological connectivity and facilitate gene flow essential to ensure that species populations retain long-term viability. To this end, sub-grants will also target seven priority corridors, covering 2.3 million hectares (Annex 17.11), and engage CSOs able to work in these areas.

Two forms of sub-grants will be available to CSOs. “Large grants”, of more than \$50,000, will be awarded directly by CI through the CEPF Secretariat, which will provide oversight and technical support to the grantees. “Small grants”, of up to \$50,000, will be awarded by the RIT (CANARI), which will supervise and support the grantees.

The sub-grant mechanism will use two approaches to select projects for award:

- i. A competitive allocation approach based on calls-for-proposals.
- ii. A non-competitive allocation to projects under an agreed programmatic or cluster framework, to fill gaps in the portfolio that cannot be addressed through competitive calls.

The competitive allocation approach will follow the same sequence as applied in other hotspots. Applicants submit project concepts in the form of Letters of Inquiry (LOIs), which are reviewed by a Regional Advisory Committee (see POM3.5), following agreed criteria. Guided by the committee’s recommendations, the CEPF Secretariat and the RIT make a joint decision on which applications to invite to the full proposal stage. For sub-grants awarded under the small grant mechanism, there is no full proposal stage, and the award decision is devolved to the RIT.

The non-competitive allocation approach will explore opportunities for a programmatic approach to build synergies across sub-grants and scale up impact in sites and corridors.

The sub-grants will be awarded by the CEPF Secretariat and RIT, while the sub-grants will be implemented by the civil society organizations identified during the project (see POM7).

***Sub-Component 1.1: Protection and Management of Priority KBAs.*** Under this sub-component, the project will finance technical and legal processes to strengthen protection of priority sites that are currently unprotected or under-protected. Sites that have been identified for protection in national biodiversity strategies will be prioritized. The project will also finance preparation and implementation of participatory management plans that support broad collaboration among stakeholders, including protected area authorities, private landowners and local communities. Where relevant, climate change impacts will be assessed and climate change adaptation measures will be integrated into management plans, to protect ecosystem functions and build resilience. The project will also support targeted activities to reduce threats to priority KBAs, especially by eradicating, controlling or preventing further spread of

invasive plants and animals that are affecting globally threatened species populations at priority KBAs. Civil society organizations that will receive grants under this sub-component will be required to work closely together with the government authority that has the mandate for the management of protected areas in the country.

***Sub-Component 1.2: Increasing Connectivity and Ecosystem Resilience in Priority Corridors.*** Under this sub-component, the project will finance activities that contribute to the protection and sustainable management of biodiversity in the wider landscape around priority KBAs, in order to buffer globally important biodiversity from threats, increase landscape-scale connectivity and enhance ecosystem resilience. Most of the activities supported will take place within production landscapes used for agriculture, forestry or other economic activities. Eligible activities include supporting sustainable livelihoods in agriculture, fisheries, forestry, and nature-based tourism that enhance ecosystem resilience and landscape-level connectivity and deliver gender-equitable benefits, in order to maintain the functionality of priority KBAs. In cooperation with relevant national and local government authorities, sub-grants could also prepare and support implementation of participatory local and corridor-scale land-use and watershed management plans to guide future development and conservation efforts. Other eligible activities may include promoting the adoption and scaling up of conservation best practices by private enterprises, to promote connectivity and ecosystem services in the corridors.

***Sub-Component 1.3: Safeguarding Priority Critically Endangered and Endangered Species.*** Under this sub-component, the project will finance targeted activities to safeguard key populations of Critically Endangered and Endangered species. Eleven of the priority KBAs are considered wholly irreplaceable at the global scale because they contain the only known population of one or more Critically Endangered or Endangered species. The project will finance the preparation and implementation of a limited number of conservation actions plans for priority Critically Endangered and Endangered species. The project will also finance work to identify the impacts of climate change on priority Critically Endangered and Endangered species, formulate adaption measures, and integrate them into site management plans.

***Sub-Component 1.4: Improving the Enabling Conditions for Biodiversity Conservation.*** For the impacts of conservation activities in and around priority KBAs to be sustainable, they need to take place within an enabling environment, with favorable public policies, sustainable financing mechanisms and, crucially, support from local communities and other stakeholders. To this end, the project will support the role of CSOs in policy dialogue and advocacy focused on government policies that impact priority KBAs, adopting the approach of collaborative social accountability. The project will finance activities that mainstream biodiversity conservation and ecosystem service values into development policies, projects, and plans by government and the private sector, with a focus on addressing major threats, such as unsustainable agriculture, mining, tourism and infrastructure development. The project will also help to establish and strengthen sustainable financing mechanisms. Although the project budget will not be used to capitalize trust funds, CSOs will be supported to raise financing from other sources, including the private sector. Other eligible activities will include targeted communication and information dissemination to build stakeholder and constituency support for the conservation of priority KBAs and priority species.

Where necessary to guide conservation planning and action, the project will support CSO efforts to fill critical gaps in knowledge and information, including through field surveys of sites and selected species, baseline monitoring assessments, and the preparation of community assessments or socioeconomic surveys.



**Component 2: Increased Capacity of CSOs in Conservation (indicative funding: \$2.33 million).** This component will further strengthen the capacity of local, national and regional civil society in the conservation and sustainable use of biodiversity through targeted capacity development activities (such as classroom-based trainings in proposal design, project cycle management, gender mainstreaming, and managing environmental and social risks, hands-on mentoring, and development of online training materials) and dedicated knowledge exchanges.

This component will be executed through a combination of sub-grants to CSOs, to build local, national and regional institutional capacity and foster stakeholder collaboration, and direct training and mentoring of CSOs by the RIT (see POM8).

***Sub-Component 2.1: Sub-grants for Capacity Building.*** Using a similar grant-making mechanism to that described under Component 1, the CEPF Secretariat and the RIT will solicit and award sub-grants to increase the capacity of Caribbean CSOs in conservation. In this way, the project will strengthen CSOs' technical knowledge and skills to implement practical, applied biodiversity conservation actions through short-term training in topics that will advance implementation of projects under Component 1. The project will also strengthen the administrative, financial, fundraising and project management capacity of strategic CSO partners to implement conservation activities. Moreover, the project will support local, national and regional information exchange, networking, mentorship, and coalition building among CSOs.

To ensure that sub-grants are accessible to lower capacity organizations, which have the greatest need for capacity building but also the least capacity to write competitive proposals, the project will ensure that:

- i. A small grant mechanism is established under the direct management of the RIT, with a simplified proposal template.
- ii. The Regional Advisory Committee is requested to evaluate small grant applications based upon the potential of the work to contribute to the capacity building of Caribbean CSOs rather than the quality of the proposal.
- iii. Proposals will be accepted in English, French and Spanish.

Moreover, in the first year of the project, one or more sub-grants could be awarded to higher capacity organizations to mentor very low capacity CSOs and strengthen their capacity in proposal writing, among other things. These CSOs could then go on to apply for sub-grants directly during subsequent years.

***Sub-Component 2.2: Direct Training and Mentoring.*** Under this sub-component, the RIT will undertake an assessment of the institutional landscape and capacity development needs in each target country. Based on this, it will develop and deliver a comprehensive capacity development program during the lifetime of the project. Participants will include sub-grantees and CSOs that have potential to become sub-grantees or have expressed interest in conserving island biodiversity. Training sessions will be held in various formats, including workshops, lectures or hands-on activities in the field. The RIT will organize grantee knowledge exchange workshops at project mid-point and end, to facilitate exchange of experience practice among sub-grantees that implement or have implemented projects in similar thematic areas, and to document and disseminate good practice.

**Component 3: Increased Capacity of RIT in Leadership and Coordination of CSO Conservation Actions (indicative funding: \$0.82 million).** This component will strengthen the role and widen the responsibilities

of the RIT vis-à-vis the CEPF Secretariat. The RIT is central to the delivery of Components 1, 2 and 4, because it provides strategic leadership and local knowledge to build a broad constituency of CSOs working across institutional and political boundaries toward achieving the conservation goals described in the ecosystem profile. The RIT's major functions and specific activities will be based on approved terms of reference (see POM5).

This component will be executed by the CEPF Secretariat (see POM8).

***Sub-Component 3.1: Technical Assistance Program for the RIT.*** This sub-component will undertake a needs assessment, based on which a technical assistance program for the RIT will be developed to improve its capacity to manage the grant portfolio and provide technical backstopping to all sub-grantees. The program will include training workshops on assessing the feasibility of proposed projects, identify technical and fiduciary risks of proposals and sub-grantees; and provide refresher courses on biodiversity conservation and share newest developments in the field.

**Component 4: Strengthened CSO Partnerships for Conservation (indicative funding: \$1.17 million).** The conservation challenges that threaten globally important biodiversity in and around the priority KBAs tend to be too complex for any organization to solve working in isolation. In the context of the project, this requires CSOs to work with one another and in close coordination with local and national governments, private landowners and local communities to co-create analyses of and solutions to conservation challenges in non-confrontational ways. This approach, termed collaborative social accountability, will be adopted by the project to facilitate partnerships of CSOs and other stakeholders to design and implement conservation actions in and around priority KBAs.

In the Dominican Republic, Antigua and Barbuda, Jamaica and Saint Lucia, this component will be led by the Collaborative Social Accountability Team (CSAT), hosted at the Instituto Tecnológico de Santo Domingo (INTEC), with \$500,000 in co-financing, as well as technical support and oversight from the World Bank's Global Partnership for Social Accountability. CEPF will provide an additional \$585,000 (\$500,000 from the initial contribution plus \$85,000 from the Additional Financing) in funding for the CSAT from the project, as well as oversight to ensure good coordination between the CSAT and the RIT. In The Bahamas, Dominica, Haiti and Saint Vincent and the Grenadines, this component will be led with by the RIT, hosted at CANARI, learning from the experience of INTEC (see POM9).

Under this component, INTEC and CANARI will work together to implement the following set of main activities:

- i. Develop and execute a harmonized capacity development plan aimed at providing training to CSOs on addressing conservation challenges through social accountability mechanisms.
- ii. Create continuous collaborative spaces for bringing together CSOs, public bodies and other stakeholders to build partnerships for conservation at a sub-set of priority KBAs and/or corridors in each country.
- iii. Design and implement knowledge-sharing and learning activities related to the experience with use of social accountability methodologies generated under the project.

**Component 5: Project Management, including M&E (indicative funding: \$1.66 million).** All activities related to administration and supervision of the project, communication, procurement and financial management as well as monitoring and reporting will be covered under this component. The Project



Implementation Unit (PIU) will be the CEPF Secretariat. The PIU will work in partnership with the RIT hosted at CANARI, and in close collaboration with the CSAT hosted at INTEC (see POM3). Under this component, communication on the project, including gathering lessons learned from the implementation will be financed.

## 2. INTRODUCTION TO THE MANUAL

### 2.1. Overview

The Project Operational Manual (POM) will guide the Project Implementation Unit (PIU) - which will be the CEPF Secretariat - and other project partners during the implementation of the CEPF Caribbean Hotspot Project. The POM contains the operating policies and procedures that will guide the project, including those pertaining to institutional arrangements, financial management, procurement, award and management of sub-grants, grievance mechanism, monitoring and evaluation, environmental and social standards, information management and reporting.

The POM is the core manual for the project. The POM is complemented by other sub-manuals or documents, including but not limited to an Environmental and Social Commitment Plan (ESCP), an Environmental and Social Management Framework (ESMF), a Stakeholder Engagement Plan (SEP), Labor Management Procedures (LMP), and a Sub-grant Operational Manual.

### 2.2 Purpose

The overall purpose of the POM is to ensure that: (a) all guidelines and procedures are compiled into a comprehensive repository accessible to all stakeholders and partners; (b) project activities are implemented in a manner consistent with the relevant guidelines and procedures set up by CEPF and the World Bank; (c) project sub-grantees, partners and contractors have the necessary guidance to implement relevant project components; and (d) project stakeholders understand their roles and responsibilities during all stages of implementation.

### 2.3 Review mechanism and approval of changes to the POM

The POM is a living document and expected to be revised and updated as necessary to incorporate lessons from practical implementation and the evolving needs of the project, as well as to facilitate adjustments in view of external changes that may influence implementation. Proposals to amend the POM may be submitted by any project partner to the PIU (CEPF Secretariat). Proposed amendments will be reviewed by the PIU, and recommendations for significant amendments will be submitted to the World Bank Task Team for prior, written approval. If no objections are received, the proposed amendment will be incorporated into the POM by the PIU. Amendments to the following sections will not require approval:

- i. Letter of Inquiry (LOI) Template (POM17.3)
- ii. Proposal Template (POM17.4)
- iii. Financial Questionnaire (POM17.6)
- iv. Financial Risk Assessment Worksheet (POM17.7)
- v. Security Screening Request Form (POM17.8)
- vi. Grant Agreement Template (POM17.9)
- vii. Gender Tracking Tool (POM17.12)
- viii. Civil Society Organizational Capacity Tracking Tool (POM17.13)
- ix. Management Effectiveness Tracking Tool (POM17.14)
- x. Project Progress Report (POM17.15)
- xi. Quarterly Financial Report (POM17.16)
- xii. Final Completion and Impact Report (POM17.17)

xiii. CI Code of Ethics (POM17.18)

Revisions to the POM will be incorporated into a new version of the POM, which will supersede and prevail over the existing version. The updated POM will be circulated by the PIU to the World Bank, Conservation International, the Regional Implementation Team (RIT) and the Collaborative Social Accountability Team (CSAT). The updated POM will also be made publicly available via the CEPF website.

## 2.4. Outline of the POM

The POM is organized in the following way: Chapter 1: Background; Chapter 2: Introduction to the Manual; Chapter 3: Institutional Arrangements; Chapter 4: Program Planning and Budgeting; Chapter 5: Procedures for Recruitment and Supervision of the RIT; Chapter 6: Procedures for recruitment and supervision of the CSAT; Chapter 7 Procedures for award and management of sub-grants; Chapter 8: Procedures for provision of technical assistance, mentoring and implementation support to CSOs and RIT; Chapter 9: Procedures for facilitation of partnerships to implement conservation actions in and around priority KBAs; Chapter 10: Environmental and social standards; Chapter 11: Grievance mechanisms; Chapter 12: Monitoring and evaluation; Chapter 13: Information management systems; Chapter 14: Procurement; Chapter 15: Financial management and disbursement arrangements; Chapter 16: Closure of the Project; Chapter 17: Annexes (supplementary information).

## 2.5. How to Use this Manual

This manual should be used in conjunction with the following guiding documents of the Project:

- Financing agreement, negotiated Additional Financing agreement, disbursement letters and other legal agreements between the World Bank and CI.
- World Bank policies.
- Project Appraisal Document.
- Environmental and Social Commitment Plan.
- Environmental and Social Management Framework.
- Process Framework.
- Labor Management Procedures.
- Stakeholder Engagement Plan.
- Sub-grant Operational Manual.

The POM and supporting documents are available on the CEPF website: [www.cepf.net](http://www.cepf.net)

## 3. INSTITUTIONAL ARRANGEMENTS

### 3.1 Executor

The project will be implemented as a Recipient Executed Trust Fund (RETF), with financing from the Japan Policy and Human Resources Development Fund at the World Bank. Conservation International (CI) will be responsible for the overall coordination and implementation of the project, including fiduciary management, monitoring and evaluation, and implementation of the project components through the CEPF Secretariat. CI has over three decades of experience in conservation, particularly in building capacity of civil society organizations (CSOs), as demonstrated over the past 25 years by the CEPF program. For the implementation and some key activities, such as Monitoring and Evaluation, of this project, CEPF will be supported by the Regional Implementation Team (RIT) described below.

### 3.2 Project Implementation Unit (PIU)

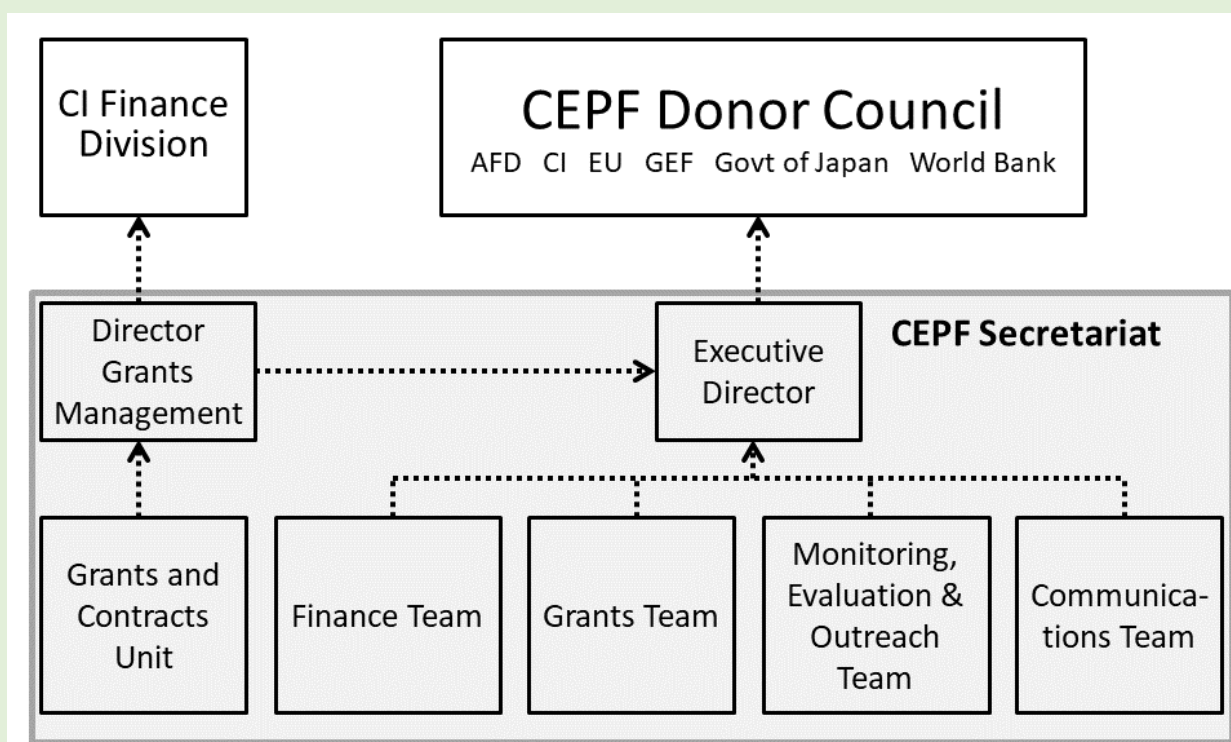
The CEPF Secretariat will be the PIU, which is administered by CI on behalf of the CEPF donor partnership. Consequently, any references herein to the CEPF Secretariat entering into legally binding arrangements (including sub-grants or contracts) are to be understood as CI acting as the relevant legal party. Additional guidance will be provided by the CEPF Donor Council, thereby ensuring that implementation in the Caribbean Islands is informed by, and in turn informs, implementation of CEPF investment programs in other biodiversity hotspot around the world. The PIU will have the following main duties and responsibilities: (i) develop and approve budgets and annual operational plans; (ii) ensure the selection and successful execution of subprojects and project supported activities; (iii) perform procurement processes; (iv) approve contracts and agreements; (v) establish financial management arrangements (budget, accounting systems, fund management, internal control, financial reporting and audit) to ensure proper management of resources and allocation of funds according to project objectives; (vi) carry out monitoring and evaluation activities; (vii) provide technical guidance and oversight for achievement of project results framework; and (viii) ensure compliance with the contractual conditions of the project. The Project's Operational Manual will provide specific details related to the project's institutional set-up, fiduciary arrangements, monitoring and evaluation procedures, safeguards compliance arrangements, and governance arrangements.

The PIU will consist of the following key staff: the Executive Director and four teams, each with their own head: the Finance Team; the Grants Team; the Monitoring, Evaluation and Outreach Team; and the Communications Team. A fifth team, the Grants and Contracts Unit, is a shared resource with other funds hosted by CI and, therefore, reports to the Vice President for External Grants and Contracts within CI's Finance Division. The organizational chart for the CEPF Secretariat is presented below. The PIU is already established with all key leaders hired.

Each of the five teams within the CEPF Secretariat will be involved in execution of the project, with overall coordination being provided by the Executive Director. The Grants Team will be responsible for development and oversight of the grant portfolio in the Caribbean Islands Hotspots. The team will lead the technical review of large grant applications, incorporating advice from the RIT (see POM3.3) and the Regional Advisory Committee (see POM3.5), and make recommendations on grant awards to the Executive Director. The team will have lead responsibility for coordination with and oversight of the RIT; technical support and supervision of large grants; achievement, assessment and reporting on progress toward reaching the targets in the project result framework; and ensuring close coordination between

the project and investments by other funders in the hotspot. The Finance Team will be responsible for financial management of the project, including preparing and tracking expenditure against annual budgets, financial reporting, and compliance with financial policies of the World Bank. The Grants and Contracts Unit will be responsible for due diligence, financial risk assessment and administrative and logistical aspects of contracting of all sub-grants awarded directly by the CEPF Secretariat (i.e. large grants to CSOs, plus the grants to CANARI for the RIT and INTEC for the CSAT), as well as for monitoring these grants to ensure grantees comply with the financial and procurement policies of CI. The Grants and Contracts Unit will also supervise the management of the small grants mechanism by the RIT, again with a focus on compliance. The Monitoring, Evaluation and Outreach Team will be responsible for monitoring and reporting on impact at the project scale, including by collation and verification of results reported by CSO grantees, and by coordinating internal and external evaluations. The Monitoring, Evaluation and Outreach Team will also lead documentation of lessons learned and good practice. Finally, the Communication Team will be responsible for disseminating experience gained under the project with conservation actors in other biodiversity hotspots where CEPF is active.

#### Organizational chart for the Project Implementation Unit



### 3.3 Regional Implementation Team (RIT)

Within the Caribbean Islands Hotspot, the CEPF Secretariat will be supported by the RIT, which will help engage and strengthen CSOs through provision of training, technical support and small grants. The RIT will be hosted at the Caribbean Natural Resources Institute (CANARI), a highly experienced institution working with CSOs in the Caribbean, which acted at the RIT during the previous phase of CEPF investment in the hotspot, from 2010 to 2016. The CEPF Secretariat will provide financial and technical support to CANARI, to bolster its capacity for project implementation as explained below.

By providing in-depth knowledge of the local context in the project countries, particularly the operating context for conservation-focused CSOs, the RIT will help the CEPF Secretariat to identify and engage appropriate CSO grantees and build a cohesive portfolio of grants that addresses the priorities set out in the investment strategy, and is well aligned with national and regional priorities for biodiversity conservation, climate change adaptation, and sustainable development. The RIT will play a central role in soliciting sub-grant applications under Component 1, as well as coordinating a process of internal and external technical review (see POM7). As well as supporting the grant selection process, the RIT will have important roles in monitoring and oversight of sub-grants and will have direct responsibility for award, compliance monitoring and supervision of small grants (of up to \$50,000).

Under Component 2, the RIT will provide training, mentoring and hands-on support to local CSOs, to strengthen their capacity to engage effectively and constructively in biodiversity conservation at both the local level and through participation in national and sub-national policy and planning processes. The RIT will also organize grantee knowledge exchange workshops at the mid-point and end of the project, to facilitate exchange of experience practice among sub-grantees, and to document and disseminate good practice (see POM8).

Another important role of the RIT, under Component 4, will be to facilitate partnerships of CSOs and other stakeholders to design and implement conservation actions in and around priority KBAs. This will involve adopting a collaborative social accountability approach, to be introduced by the CSAT (see POM9).

CANARI will receive from the CEPF Secretariat a first grant to perform the RIT functions, and a second grant to support the small grants that it will award. Therefore, the RIT will be a strategic sub-grantee under the supervision of the CEPF Secretariat and will follow procurement and financial management policies of the World Bank, as agreed and reflected in this project operational manual (POM). The RIT will receive initial training in World Bank policies and project procedures within 90 days of appointment, as well as on-going training throughout the project (see POM8.4). In keeping with the conflict-of-interest policy (see POM7.8), CANARI is not eligible to receive further sub-grants for activities under the project. More detailed information on the structure, staffing and functions of the RIT is provided in POM5.

### 3.4 Collaborative Social Accountability Team (CSAT)

The CEPF Secretariat will also be supported by a Collaborative Social Accountability Team (CSAT), which will lead implementation of Component 4 of the project on strengthened CSO partnerships for conservation. The CSAT will be hosted at the Instituto Tecnológico de Santo Domingo (INTEC), an experienced institution in the region. The CSAT will lead implementation of Component 4 in the Dominican Republic, Antigua and Barbuda, Jamaica and Saint Lucia, while sharing experience with the RIT, which will lead in the remaining project countries. The CEPF Secretariat will provide funding and oversight to the CSAT, which will also benefit from co-financing support and oversight from the World Bank's Global Partnership for Social Accountability (GPSA).

The CSAT will be responsible for applying a collaborative social accountability methodology to build partnerships of CSOs to create collaborative spaces for bringing together CSOs, local communities, public bodies and other stakeholders to plan and implement effective conservation action for priority KBAs and clusters of priority KBAs (see POM9).

### 3.5 Regional Advisory Committee (RAC)

An RAC will be constituted by the RIT to provide independent advice to the CEPF Secretariat and RIT on the selection of sub-grant applications for award, as well as the strategic development of the project, including alignment with national development plans, national adaptation plans and major initiatives in the environment sector in the Caribbean Islands Hotspot. The Regional Advisory Committee will comprise 15-20 members appointed in their individual capacity representing CSOs, academia, government agencies, donors and technical assistance agencies present in the Caribbean Islands Hotspot. Members of the RAC will serve on a voluntary basis. The committee members will collectively have expertise in the eight target countries and capacity in the languages of the target countries (English, French, Haitian Creole and Spanish). The two criteria that all committee members must meet are: (i) independence (from CANARI and CI); and (ii) technical expertise. Committee members must have expertise in one or more of the technical areas relevant to the strategic focus outlined in the ecosystem profile, which include, but are not limited to, protected area planning and management, climate change, invasive alien species, sustainable livelihoods, gender programming, sustainable financing and Caribbean civil society organizational strengthening.

CANARI has a deep network of environmental practitioners and leaders that work across the full gamut of biodiversity conservation and sustainable development throughout the Caribbean Islands hotspot. To select members for the RAC, CANARI will methodologically undertake a hotspot-wide search to ensure the region's leading conservation experts and practitioners serve on the Regional Advisory Committee.

As a first step, the RIT will develop terms of reference for the RAC and send them to its network of environmental leaders, practitioners, and donor representatives to ask for brief expressions of interest to serve on the committee. Once the RIT has received these expressions of interest, it will evaluate them based on the objective selection criteria above, in order to select qualified candidates. The final composition of the RAC will ensure coverage of the eight target countries and the four main regional languages, as well as balanced representation of women and men.

The RAC will meet one or more times per year, depending upon the calendar of calls for proposals. Meetings may be in person or virtual. The working languages for meetings will be English, French and/or Spanish. Depending on the volume of applications for sub-grants under any given call, all shortlisted applicants under the call may be invited to present their project concept to the committee and respond to questions. In this way, the committee will be able to make an informed recommendation about whether to invite a particular applicant to develop a full proposal and, if so, whether any changes to project design are warranted. The RAC will also review shortlisted large grant applications, and its recommendations will inform award decisions made jointly by CEPF and the RIT. The committee's recommendations will be advisory.

To avoid conflicts of interest, CSOs represented on the RAC by staff, advisors or members of the Board of Directors that have applied under a CEPF call for proposals will not be invited to review applications for that round of funding.

### 3.6 Donor Council (DC)

The DC is the governance body for CEPF. It consists of senior representatives of each of the eight global donor partners of the fund: l'Agence Française de Développement; CI; the European Union; Fondation Hans Wilsdorf; the Global Environment Facility; the Government of Canada; the Government of Japan;

and the World Bank. The Chairperson of the Donor Council serves in a personal capacity. The Donor Council meets twice per year, either in person or virtually. The functions of the Donor Council include *inter alia* providing general guidance to CI on the operations of the Fund, reviewing and approving the fund-raising strategy for the Fund, and reviewing and approving proposed grants for award to CI under other sources of financing.

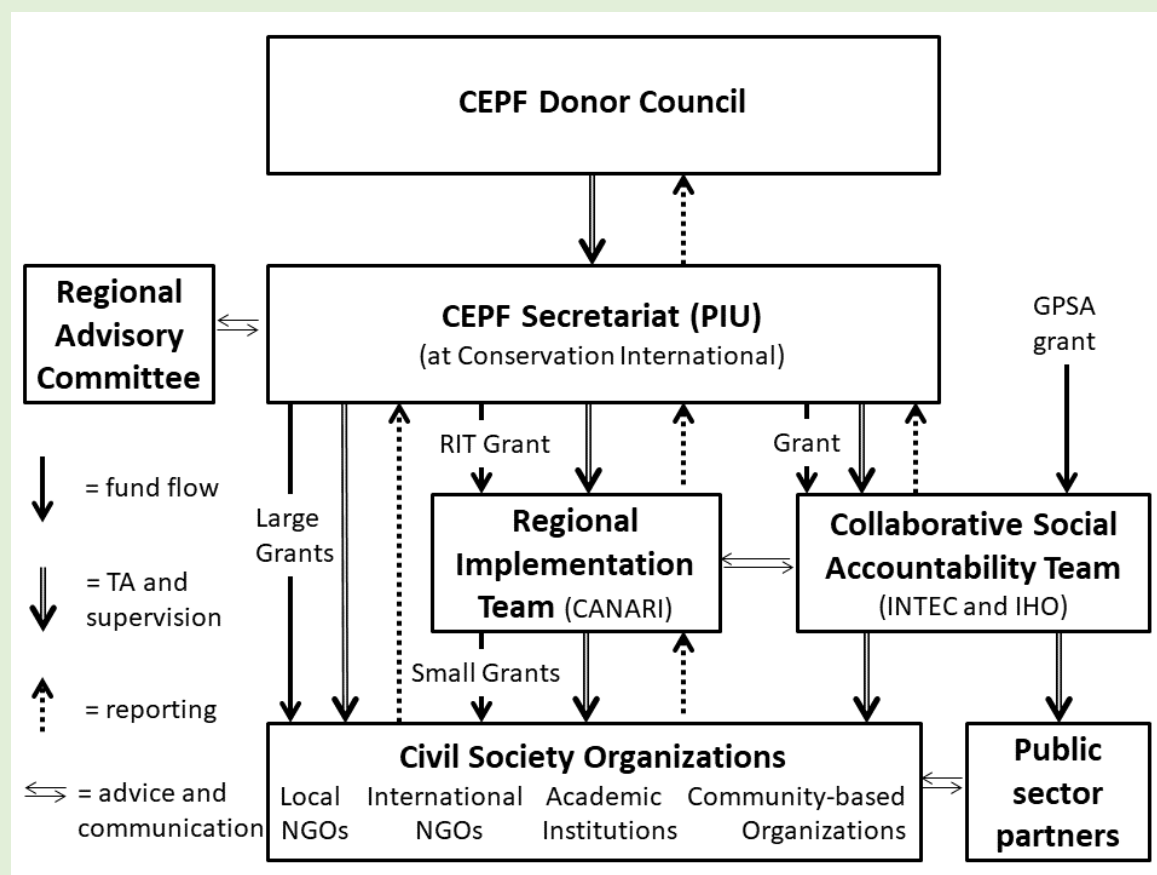
The DC has approved the selection of the Caribbean Islands Hotspot as the focus of the project. It has also approved the investment strategy for the hotspot (Annex 17.2), which defines the geographic and thematic priorities for grant making under Component 1 of the project.

During the project, the DC will play an advisory role, ensuring that CEPF activities in the Caribbean Islands are well coordinated with those in other biodiversity hotspots, and facilitating exchange of lessons learned and good practice across CEPF's global portfolio. The DC members will also support the CEPF Secretariat to identify potential sources of parallel funding, particularly for countries and territories within the Caribbean Islands Hotspot that are not covered by the project. The decisions made by the Donor Council cannot supersede World Bank's guidelines and procedures for project execution, such as those related to procurement and financial management, among others.

### 3.7 Organigram

The implementation and institutional arrangements for the project are shown schematically in the following diagram.

Organizational chart for the Project





### 3.8 World Bank Task Team

Supervision and implementation support will be conducted by a Task Team at the World Bank. The Task Team will be responsible for the overall supervision of the project, as well as coordination with the GPSA, which is providing co-financing to the project. The Task Team will also supervise compliance with applicable World Bank policies, including financial management, and environmental and social standards. The Task Team will have responsibility for approving annual procurement plans and other procurement documentation requiring prior or post-hoc review by the World Bank, as well as any substantive departures from the annual workplans and budgets.

The Task Team will carry out supervision and implementation missions for the Project at least twice a year, including to the offices of CI in Arlington, VA, and to the field. The Task Team will be the main point of contact for other World Bank staff and consultants involved in the monitoring and evaluation of the project, including the Internal Completion Report.

### 3.9 Liaison with Public Sector Partners

The RIT and the CSAT will have primary responsibility for liaison with public sector partners, in particular under Component 4, to ensure that project activities are well aligned with national and sub-national government priorities for conservation, climate change and sustainable development (see POM9). Central to these efforts will be the creation of continuous, collaborative spaces for bringing together CSOs, public bodies and other stakeholders. This approach, informed by global experience with collaborative social accountability from the GPSA, will be used to build partnerships for conservation at priority KBAs or clusters of priority KBAs. These partnerships will be based on collaborative frameworks spelling out the terms of cooperation among civil society, public sector and, where relevant, private sector stakeholders, including on information sharing, joint actions, and joint capacity building. For activities under Component 4, the RIT will be the lead point of contact for public sector partners in The Bahamas, Dominica, Haiti and Saint Vincent and the Grenadines, while the CSAT will be the lead point of contact for public sector partners in Antigua and Barbuda, the Dominican Republic, Jamaica and Saint Lucia. The RIT will be the principal point of contact for public sector partners for activities under other project components.

The work of the RIT and the CSAT will be supported by the CEPF Secretariat and the GPSA Secretariat, which will undertake joint supervision missions to provide technical assistance and strategic guidance to the implementation of Component 4. During its supervision missions to the hotspot, the CEPF Secretariat will meet with key public sector partners, to inform them about progress with project implementation, and explore opportunities for collaboration. Furthermore, CSOs applying for sub-grants under Component 1 will be required to demonstrate that they have consulted with relevant stakeholders, including public sector partners, during design of their projects. Finally, representatives of government agencies will be invited to sit on the Regional Advisory Committee (see POM3.5).

## 4. PROGRAM PLANNING AND BUDGETING

### 4.1 Planning and budgeting approach

A full project budget shall be agreed between the World Bank and CEPF. CEPF shall submit to the World Bank staff an annual projection of costs in the format of the approved full project budget along with an annual workplan. The annual budget shall cover the period of July 1 – June 30, consistent with CEPF's existing fiscal year period and annual planning processes. The annual projection shall be provided to the World Bank no later than May 31 of each project year.

CEPF's general ledger records sub-grant costs on a disbursement basis, so the budget and actual expenditure documents will reflect CI payments made to CEPF sub-grantees.

### 4.2 Project actor responsibilities in annual workplan and budgeting process

The responsibilities of different project actors in the annual workplan and budgeting process are set out in the following table.

Responsibility	Responsible project actor
Development of draft annual workplan	CEPF Secretariat – Grants Team
Costing of activities in the draft annual workplan	CEPF Secretariat – Finance Team
Development of annual projections for personnel, travel, meetings, and events, professional services, other direct and indirect costs, and grants and assistance to implementing partners	CEPF Secretariat – Finance Team
Provision of feedback on the draft annual workplan and annual projections	RIT and CSAT
Review and approval of the annual workplan and annual projections (within 10 business days)	World Bank
Provision of feedback on the reasonableness of anticipated project timelines and alignment to project objectives	World Bank

## 5. PROCEDURES FOR RECRUITMENT AND SUPERVISION OF THE REGIONAL IMPLEMENTATION TEAM (RIT)

### 5.1. Introduction

CEPF's work in each of the biodiversity hotspots is supported by a Regional Implementation Team (RIT): an entity selected to provide strategic leadership for the program in each of the hotspots approved for investment. Each RIT will consist of one or more civil society organizations active in conservation in the region. A RIT could be a partnership of civil society groups or could be a lead organization with a formal plan to engage others throughout the implementation process. The objective of the RIT is to convert the plans in the ecosystem profile into a cohesive portfolio of grants, each of which is designed to contribute to CEPF's long-term goals for the hotspot.

The RIT performs a valuable role in providing local knowledge and insight and represents CEPF on the ground in each hotspot. The RIT has primary responsibility for building a broad constituency of civil society groups working across institutional and political boundaries toward achieving the objectives described in the ecosystem profile and any regionally appropriate long-term conservation and development visions.

The RIT operates in a transparent and open manner, consistent with the CEPF mission and all provisions of the Project Operational Manual. Organizations that are members of the Regional Implementation Team will not be eligible to apply for other CEPF grants within the same hotspot. Applications from formal affiliates of those organizations that have an independent operating board of directors will be accepted, and subject to additional external review.

Within the Caribbean Islands Hotspot, the CEPF Secretariat will be supported by a RIT hosted at the Caribbean Natural Resources Institute (CANARI), which will engage and strengthen CSOs through provision of training, technical support and small grants. CANARI acted as the RIT during the previous phase of CEPF investment in the hotspot, from 2010 to 2016. Informed by a positive evaluation of CANARI's performance as the RIT during the first phase of investment, this organization has been pre-selected to perform the role of the RIT for the Project.

CANARI will receive a grant of \$1.5 million from CEPF at the inception of the project. This grant will be awarded in a non-competitive manner, with CANARI as the pre-identified recipient. In advance of receiving the grant, CANARI will be required to prepare an online proposal in ConservationGrants (see POM13.1), which will form the basis for programmatic and financial reporting to the CEPF Secretariat. CANARI will also be required to undergo routine due diligence and will sign a grant agreement that follows the standard template in Annex 17.9 other than regarding procurement (Article 11 and Attachment 2), where CANARI will be required to follow the World Bank's procurement rules (see POM14.1). In July 2025, the grant agreement with CANARI will be amended, to increase the total value to \$1.75 million, making use of the Additional Financing, and to extend the end date to 31 July 2027.

### 5.2 RIT Terms of Reference

The RIT will operate under a standard set of Terms of Reference (TOR) approved by CEPF's donors, including the World Bank. These TOR have been refined several times since CEPF was established, and

provide a comprehensive description of the duties to be performed by the RIT. The abbreviated TOR are listed below; and full TOR with detailed functions are in Annex 17.1.

While the TOR provide a broad and comprehensive description of the work that the RIT will perform, RIT activities pertaining to specific project components are described below.

#### **Component 1: Increased Share of Land and Sea in and around Priority KBAs under Improved Management**

Component 1 will entail supporting a grant mechanism that focuses on globally important biodiversity in eight Caribbean Island countries: Antigua and Barbuda; The Bahamas; Dominica; Dominican Republic; Haiti; Jamaica; Saint Lucia; and Saint Vincent and the Grenadines. The RIT will be fully involved in the sub-grant mechanism, and in collaboration with the CEPF Secretariat, will coordinate and communicate about the grant opportunity throughout the hotspot, publicize the availability of sub-grants, support potential applicants to design projects, provide technical assistance to grantees to implement projects, collaborate on monitoring and evaluation of projects, and ensure accurate reporting of program results. The RIT will have full responsibility for the award and oversight of small grants (up to \$50,000) and will collaborate with the CEPF Secretariat to determine awards for large grants (over \$50,000). The RIT will ensure that small grants complement and relate to the large grant portfolio, with the overall aim of creating a cohesive portfolio of grants that supports civil society of varying capacities to achieve the project objectives.

#### **Component 2: Increased Capacity of CSOs in Conservation**

This component aims to strengthen the capacity of local, national and regional civil society in the conservation and sustainable use of biodiversity through targeted capacity development activities and dedicated knowledge exchanges. Under this component, the RIT will undertake an assessment of the institutional landscape and capacity development needs in each of the eight target countries (Antigua and Barbuda, The Bahamas, Dominica, Dominican Republic, Haiti, Jamaica, Saint Lucia, and Saint Vincent and the Grenadines). Based on the results, the RIT will develop and deliver a comprehensive capacity development program over the lifetime of the project. Activities will include training sessions in various formats, grantee knowledge exchange workshops, and direct training and mentoring of CSOs by the RIT.

#### **Component 4: Increased Number of CSO Partnerships for Conservation**

Component 4 of the project will utilize collaborative social accountability to build partnerships for coordinated conservation actions in and around KBAs. Collaborative social accountability is a set of methodologies and tools for constructive engagement of citizens and civil society organizations (CSOs) with public-sector institutions, to bring about greater voice for citizen's concerns and responsiveness to their needs. The use of collaborative social accountability mechanisms by the project will be spearheaded by a Collaborative Social Accountability Team (CSAT), hosted at the Instituto Tecnológico de Santo Domingo (INTEC), working in partnership with Integrated Health Outreach (IHO). The CSAT will develop, implement and refine collaborative frameworks among communities, CSOs and governments in the Dominican Republic, and Antigua and Barbuda, and then adaptively replicate them in Jamaica and Saint Lucia. The CSAT will share its experience with the RIT, which will be responsible for facilitating similar frameworks in The Bahamas, Dominica, Haiti, and Saint Vincent and the Grenadines. The RIT will work closely with INTEC and IHO to implement this component.

**Component 5: Project Management**

This component provides for the administrative, management and monitoring and evaluation functions necessary for the effective implementation of the other four components of the project. The RIT will support the PIU to monitor and evaluate progress against the indicators and targets in the results framework for the project. The RIT will work in close partnership with the CEPF Secretariat, and coordination calls between the RIT Team Leader and CEPF Grant Director will be held on a weekly basis. The RIT will also collaborate with the CSAT, hosted at INTEC, on the implementation and monitoring of activities under Component 4. Virtual coordination calls among the CEPF Secretariat, RIT and CSAT will take place at least once per quarter, with annual in-person meetings (if COVID-19 travel restrictions allow).

The RIT TOR comprise eight components. These relate to the four components of the project as shown in the following table:

<b>RIT TOR component</b>	<b>Relationship to project components</b>
1. Coordinate CEPF investment in the hotspot.	The RIT provides strategic leadership and local knowledge to build a broad constituency of CSOs working across institutional and political boundaries toward achieving conservation goals. Under Component 3, the CEPF Secretariat will strengthen the RIT's ability to perform this role.
2. Support the integration of biodiversity into public policies and private sector business practices.	Component 4 will utilize collaborative social accountability to build partnerships for coordinated conservation actions in and around KBAs. The RIT will be responsible for developing collaborative frameworks in The Bahamas, Dominica, Haiti, and Saint Vincent and the Grenadines.
3. Communicate the CEPF investment throughout the hotspot.	Communication will be essential to make CSOs aware of the opportunities to access sub-grants under Components 1 and 2, as well as to engage other stakeholders through the collaborative frameworks developed under Component 4.
4. Build the capacity of civil society.	Component 2 will strengthen the capacity of local, national and regional civil society.
5. Support the CEPF Secretariat process for solicitation and review of proposals for large grants (above a threshold of \$50,000).	Component 1 will support a grant mechanism that focuses on building capacity of CSOs to reduce threats to globally important biodiversity. Grants over \$50,000 will be awarded directly by CEPF but the RIT will play the leading role in coordinating the review process.
6. Manage a program of small grants (up to \$50,000) in compliance with the operation manual.	Under Component 1, grants of up to \$50,000 will be awarded and managed by the RIT.
7. Monitor and evaluate the impact of large and small grants.	Under Component 5, the RIT will facilitate the monitoring and evaluation of project impacts and progress toward the Project Development Objective, by leading the monitoring of small grants and assisting the CEPF Secretariat to monitor large grants.
8. Support the CEPF Secretariat to monitor the large grants portfolio and ensure compliance with CEPF funding terms.	Under Component 1, grants over \$50,000 will be awarded directly by CEPF. By leveraging its presence in the region, the RIT will support CEPF to ensure that large grants comply with the funding terms.

### 5.3 RIT Structure and Staffing

The Caribbean Islands Hotspot investment covers eight countries, and the RIT has significant administrative, financial and programmatic responsibilities. While the RIT will be hosted at CANARI, located in Trinidad and Tobago, staff will have a presence in the countries of investment. Also, the RIT will administer a small grants mechanism, and will coordinate and collaborate with the CEPF Secretariat to deliver capacity building to CSOs in all countries, as well as technical support for project implementation. The RIT will monitor all small grants, and will collaborate with the CEPF Secretariat to monitor large grants, throughout the project. Therefore, the RIT will be staffed with at least the following positions/functions:

Position/function	Role
Team Leader	Overall project lead and senior policy/government liaison
Small Grants Manager	Oversees Small Grants Mechanism.
Finance Officer	Financial management for Small Grants Mechanism and the RIT
Administrative Assistant	Provides RIT administrative support
Communications Officer	Lead on communication, with a focus on impacts of the sub-grant portfolio
Country Coordinator – English-speaking Caribbean (Antigua and Barbuda, Jamaica The Bahamas, Dominica, St. Lucia, St. Vincent and the Grenadines)	Technical and administrative support to large and small sub-grantees
Country Coordinator – Dominican Republic	Technical and administrative support to large and small sub-grantees

The RIT positions may be full or part-time depending on their scope of work. The Country Coordinators will be based within their respective focal country(ies). All positions are expected to be filled within three months of inception. At that point, a capacity needs assessment will be carried out, and a plan of targeted training devised to fill any capacity gaps that could adversely affect the RIT's ability to deliver its functions.

### 5.4. RIT Supervision

The CEPF Secretariat will conduct missions to the region to supervise performance of the RIT at least two times year. These missions will entail technical and financial reviews, and will be complemented by visits to the field to meet and review selected sub-grantees. Each mission will result in points of action and recommendations for any adaptive management measures that may be required.

While the travel restrictions related to the COVID-19 pandemic remain in place and travel to the region is not possible, virtual supervision missions will be substituted for in-person visits. Conference calls will be organized with the RIT, to cover the same content as would be covered during an in-person meeting. The management of the small grant mechanism by the RIT will be supervised by review of information in the online grants management system, ConservationGrants, supplemented by financial records (bank statements, financial reports, etc.) shared in advance by the RIT. In a similar fashion, the RIT's financial management will be supervised through review of financial reports supplemented by desk review of supporting documents for a sample of transactions; vouchers will be scanned and sent electronically in advance of the mission, for this purpose. If in-country travel by RIT staff is possible, they may be asked to undertake field visits to selected sub-grantees in advance, and then to discuss their findings during the

mission. These visits will be documented in site visit reports prepared by the RIT, while the overall mission will be documented in a supervision mission report prepared by the Grant Director.



## 6. PROCEDURES FOR RECRUITMENT AND SUPERVISION OF COLLABORATIVE SOCIAL ACCOUNTABILITY TEAM (CSAT)

### 6.1 Introduction

Component 4 of the project will utilize collaborative social accountability to build partnerships for coordinated conservation actions in and around KBAs. Accountability is the cornerstone of good governance. In the context of biodiversity conservation, it is an essential element of natural resource governance that balances the need for long-term protection and replenishment of natural capital with short-term development imperatives. Collaborative social accountability is a set of methodologies and tools for constructive engagement of citizens and civil society organizations (CSOs) with public-sector institutions, to bring about greater voice for citizen's concerns and responsiveness to their needs.

Key elements of the approach to collaborative social accountability that will be adopted by the project include:

- i. *A solution-driven approach*, whereby communities, CSOs and public-sector institutions collaboratively identify problems, explore their causes and develop appropriate solutions.
- ii. *Context-based analysis*, where problems are framed in the context of the actors that are affected by it or already involved in resolving it.
- iii. *Constructive engagement*, to encourage public-sector decision-makers to make concrete changes aimed at improving natural resource governance and development processes.
- iv. *Multi-stakeholder partnerships*, which bring together actors with diverse expertise, outreach capacities, and influence.

The use of collaborative social accountability mechanisms by the project will be spearheaded by a Collaborative Social Accountability Team (CSAT), hosted at the Instituto Tecnológico de Santo Domingo (INTEC), working in partnership with Integrated Health Outreach (IHO). The CSAT will develop, implement and refine collaborative frameworks among communities, CSOs and governments in the Dominican Republic, and Antigua and Barbuda, and then adaptively replicate them in Jamaica and Saint Lucia. The CSAT will share its experience with the Regional Implementation Team (RIT), which will be responsible for facilitating similar frameworks in The Bahamas, Dominica, Haiti, and Saint Vincent and the Grenadines.

At the local level, the CSAT will employ inclusive participation methods focused on engaging and empowering poor and marginalized sections of society, especially women, youth, the disabled and ethnic minorities, that are particularly vulnerable to the deleterious impact of biodiversity degradation and climate change resilience.

### 6.2 Scope of Work

In the four countries where the CSAT will work directly, there are 12 geographies where the CSAT could focus (five clusters of priority sites and seven individual sites). In consultation with the CEPF Secretariat, the GPSA Secretariat and the RIT, the CSAT will select at least eight of these geographies to target with its interventions. The CSAT will focus on those geographies where the social accountability approach will add the most value. The selection of these geographies will be informed by the distribution and purpose of sub-grants selected for award under each funding round.

Components 1 and 2 will focus on the selected geographies. Component 3 is cross-cutting, and will focus on learning and knowledge management in all eight countries targeted by the project.

**Component 1.** Capacity-building for collaborative social accountability.

**Functions**

- i. Undertake stakeholder mapping and inception meetings with stakeholders in the Dominican Republic, and Antigua and Barbuda, central and local-level CSOs and public sector institutions that participated in the first CEPF investment phase.
- ii. Pilot a series of social accountability mechanisms in target communities and refine them based on experience.
- iii. Provide technical assistance and mentoring to central and local-level CSOs and public sector institutions to equip them with the skills and abilities needed to use collaborative social accountability tools and mechanisms.
- iv. Co-create and implement a capacity-building program tailored to the needs and contexts of target partners and communities in St. Lucia and Jamaica, drawing on the lessons learned by the end of the first year of the grant, and coordinate this program with the capacity-building activities of the RIT in The Bahamas, Dominica, Haiti, and Saint Vincent and the Grenadines.

**Component 2.** Implementing collaborative social accountability mechanisms for improved biodiversity conservation and hotspot monitoring.

**Functions**

- i. Establish non-binding collaborative agreements with government counterparts to integrate biodiversity values, climate resilience and citizen feedback into national and local planning and improve hotspot monitoring by creating new or strengthening existing participatory mechanisms for collaborative problem-solving, outlining information-sharing terms, mutual commitments and joint actions.
- ii. Bring together CSOs, public bodies and other stakeholders to build partnerships for conservation at a sub-set of priority KBAs and KBA clusters in the Dominican Republic, and Antigua and Barbuda identified in the investment strategy for the Caribbean Islands Hotspot (Annex 17.2).
- iii. Provide continuous technical assistance and mentoring for the implementation of social accountability mechanisms aimed at generating feedback on problem/issue identification, and follow up actions to be jointly pursued by CSOs and public sector institutions at the local and central levels, in coordination with the RIT.
- iv. Create a monitoring dashboard to track progress in priority actions as well as to share and exchange information about problem-solving and solutions within and across countries.
- v. Design, test and iterate similar collaborative social accountability processes adapted to the local context in Saint Lucia and Jamaica, and share lessons learned and coordinate peer learning activities with the RIT for the implementation of social accountability mechanisms in The Bahamas, Dominica, Haiti and Saint Vincent and the Grenadines.

**Component 3.** Improving knowledge and learning on social accountability in the Caribbean biodiversity conservation sector and project management.

### Functions

- i. Establish a monitoring, evaluation and learning system for the collaborative social accountability grant.
- ii. Conduct regular internal monitoring, evaluation and learning sessions, focused on adjusting the CSAT's social accountability strategy and operations, including, but not limited to, project-supported partnerships for conservation and effectiveness of social accountability mechanisms.
- iii. Develop and disseminate to key audiences a series of knowledge and learning products, with a focus on promoting the uptake of relevant aspects and elements of the collaborative social accountability process and mechanism.
- iv. Contribute to the Global Partnership for Social Accountability's (GPSA's) mandate to broker and promote knowledge and learning about collaborative social accountability and the local adaptation of the GPSA's theory of change, and feed back lessons that may inform other practitioners within the GPSA Global Partnership.
- v. Develop and implement a media and communications plan for disseminating the knowledge and learning products to key target audiences and other objectives to be defined at inception.
- vi. Organize national-level workshops/conferences on social accountability and biodiversity conservation, as well as regional meetings and events to nurture a regional community of practice among CSOs and public sector institutions.
- vii. Carry out day-to-day management and monitoring of the CSAT grant, including procurement of consultant services (including audit), financial management, staff training, and reporting.
- viii. Monitor compliance with World Bank Environmental and Social Standards pertinent to the problem, and establish a grievance mechanism whereby stakeholders can raise concerns with INTEC, the CEPF Secretariat or the local World Bank office.

### 6.3 Timeframe and Sequencing of Activities

The CSAT will operate for four years, from September 2020 to August 2024, initially funded by co-financing from the GPSA. CEPF funding to the CSAT will begin at the start of the CEPF Caribbean Islands Hotspot Project, currently anticipated to be January 2021, and continue until July 2024. This will require a staggered start, with a focus on the Dominican Republic and Antigua and Barbuda during the first year. During the second year, the activities of the CSAT will expand to Saint Lucia and Jamaica, and it will begin to share lessons learned and coordinate peer learning activities with the RIT for the implementation of social accountability mechanisms in The Bahamas, Dominica, Haiti and Saint Vincent and the Grenadines.

Some CSAT activities will require the RIT to have been established and trained (see POM5); this is expected to happen within three months of the start of the project. Other activities will require the first cohort of CSO grantees at priority KBAs to have been identified through competitive calls for proposals (see POM7); this is expected to happen within six months of the start of the project. Given the independent timelines of the GPSA grant to INTEC and the start of the CEPF project, the CSAT should focus on the following functions during the period September 2020 to August 2021:

- Component 1: Functions (i) and (ii).
- Component 2: Functions (i) and (iv).

- Component 3: Functions (i), (ii), (iii), (iv) and (v).

## 6.4 Structure and Staffing

The lead implementing agency for the CSAT will be INTEC. It will have overall fiscal responsibility for the grant from CEPF. As such, INTEC will be responsible for the overall management and implementation of CSAT functions under all three components, including compliance with the World Bank's Environmental and Social Standards. The CSAT will be hosted at INTEC's Center for Government, Industry and Society, in collaboration with INTEC's Climate Change Observatory and its Gender-based Institute.

CSAT activities in Antigua and Barbuda and Saint Lucia will be led by IHO. INTEC will award a sub-grant to IHO, subject to prior approval by the CEPF Secretariat, and inclusion of provisions that flow down policies of Conservation International (CI) and the World Bank.

The CSAT will have seven key staff positions, comprising four based at INTEC in the Dominican Republic and three based at IHO in Antigua and Barbuda, as shown in the following table:

Position	Organization	Location
CSAT Project Manager	INTEC	Dominican Republic
Climate Change and Environmental Specialist	INTEC	Dominican Republic
Gender, Youth and Minority Coordinator	INTEC	Dominican Republic
Project Coordinator / Local M & E	INTEC	Dominican Republic
CSAT Deputy Manager	IHO	Antigua and Barbuda
Social and Climate Change Specialist	IHO	Antigua and Barbuda
Local Monitoring & Evaluation	IHO	Antigua and Barbuda

In addition, national consultants will be hired to support project implementation in Jamaica and St. Lucia, and a regional consultant will be contracted to undertake independent monitoring and evaluation.

## 6.5 Recruitment Process

INTEC was selected under a competitive call for proposals issued by the GPSA in 2019. Its proposal was selected by the GPSA Steering Committee, based on an independent evaluation by a roster of experts.

Subject to completion and clearing of all necessary CEPF pre-award due diligence, INTEC will receive a large grant from CEPF at the inception of the project. This grant will be awarded in a non-competitive manner, with INTEC as the pre-identified recipient. In advance of receiving the grant, INTEC will be required to prepare an online proposal in ConservationGrants (see POM13.1), which will form the basis for programmatic and financial reporting to the CEPF Secretariat. INTEC will also be required to undergo regular CEPF due diligence and will sign a grant agreement that follows the standard template in Annex 17.9 other than regarding procurement (Article 11 and Attachment 2), where INTEC will be required to follow the World Bank's procurement rules (see POM14.1). Co-financing for the CEPF grant will be provided by the GPSA, housed within the World Bank.

## 6.6 Orientation

Within one month of the countersignature of the grant agreement, INTEC and IHO employees responsible for implementation of the CEPF grant will be required to participate in an orientation session for new

grantees. This will cover the basics of grant administration and reporting, as well as financial management and other policies of CI and the World Bank.

## 6.7 Inception

Within three months of the award of the CEPF grant, an inception workshop will be held among the CSAT, the RIT, the CEPF Secretariat and the GPSA Secretariat. This meeting may be held in person or virtually. The purpose will be to select priority geographies (priority KBAs and clusters of priority KBAs) for the CSAT, and to develop a joint timeline for implementation of activities under Component 4 of the CEPF Caribbean Islands Hotspot project.

In view of the independent timelines of the CEPF grant to INTEC and the co-financing from the GPSA, and mindful of the GPSA's adaptive management approach, some activities and their sequencing may be adjusted during the inception phase of the CSAT, to better align with the workplan of the wider CEPF Caribbean Islands Hotspot project, and respond to beneficiaries' needs and other contextual factors.

## 6.8 Supervision

One of the functions of the CSAT will be to establish a monitoring, evaluation and learning system for the project. This will be established during the first year of the project, and will be closely aligned with the monitoring, evaluation and learning system for the GPSA grant. To the extent possible, the two systems will use common indicators, shared personnel and joint learning activities. The system will embody the principle of adaptive management and incorporate adaptive learning and management tools.

INTEC will recruit a Monitoring and Evaluation Officer to work on the CSAT, who will be responsible for developing monitoring tools for the CSAT. INTEC will also contract an independent evaluator (individual consultant or company) to help assess the performance of the CSAT, build stakeholders' capacity, and help them to reflect, learn and adjust from their experiences. The independent evaluator will also conduct midterm and final evaluations of the CSAT.

The CEPF Secretariat will carry out joint field missions with the GPSA Secretariat at least once per year to supervise performance of the CSAT and provide technical assistance. These missions will pay particular attention to ensuring close coordination between the activities of CSAT and those of the CEPF Secretariat and RIT towards the outcomes of the CEPF project.

While the travel restrictions related to the COVID-19 pandemic remain in place and travel to the region is not possible, virtual field missions will be substituted for in-person visits. Conference calls will be organized among CEPF, GPSA and the CSAT, to cover the same content as would be covered during an in-person meeting. RIT staff will be invited to join these missions, to ensure good coordination among all countries regarding implementation of activities under Component 4. INTEC's financial management of the CSAT grant will be supervised through review of financial reports supplemented by desk review of supporting documents for a sample of transactions; vouchers will be scanned and sent electronically in advance of the mission, for this purpose. Immediately following each mission, an aide memoire will be prepared by the CEPF Grant Director and the GPSA Secretariat, and shared with the CSAT for its review and signature.

## 7. PROCEDURES FOR AWARD AND MANAGEMENT OF SUB-GRANTS

### 7.1 Types of Sub-grants and Award Modality

The direct conservation actions in and around priority KBAs that will be implemented under the project will take place under Component 1, via sub-grants to CBOs, local and international NGOs, academic institutions and other CSOs. These sub-grants will be of two types. “Large grants” will be awarded directly by the CEPF Secretariat, which will provide oversight and technical support to the CSO grantees. “Small grants” will be awarded by the RIT, which will supervise and support the grantees. Small grants will primarily be used to engage lower capacity CSOs with less experience of receiving international donor funding, although they will also be open to higher capacity organizations, for actions that do not require a large budget.

#### Small Grants

Small grants will be awarded by the RIT from this dedicated small grants mechanism. The threshold amount for small grants in the Caribbean Islands Hotspot is up to \$50,000. Small grant award decisions will be made by CANARI, based on internal financial and programmatic reviews by the RIT, independent advice from the Regional Advisory Committee (see POM3.5), and where needed, additional external reviews.

The small grant mechanism will operate as follows:

- a. **Guidance:** The RIT will provide guidance to all interested CSOs in submitting project ideas in the form of virtual workshops on project design and proposal development, including the formation of partnerships. These workshops will be open to all interested organizations, in order to ensure fair and open competition. Workshops will be held in English, French and Spanish to ensure accessibility to CSOs in all project countries.
- b. **Letter of Inquiry (LOI):** Applicants for small grants will be required to submit an LOI, together with a simplified budget and results framework. The contents of the LOI are described in full in the Project Operational Manual (POM) and include: project’s strategic direction, name of the corridor, key biodiversity area (KBA) or protected area (PA) and/or additional areas where the project will focus, project concept idea, impacts, links to CEPF investment strategy, long-term sustainability, organizational strengths, a few environmental and social screening questions that could trigger any ESSs, and planned project expenses.
- c. **Selection:** Award decisions will be made by the RIT, based on internal financial and programmatic reviews, and the independent advice provided by the RAC through a shortlist of potential grantees provided. LOIs will be reviewed internally by the RIT and, if the subject proposed is not covered by the RAC member, external peer reviewers with relevant technical expertise will be invited to review and provide an opinion. Following provisional approval, the RIT may meet with applicants to provide guidance on project design and proposal development, including the formation of partnerships. The RIT may award a sub-grant based on an approved LOI or may request further proposal development if deemed necessary. The RIT will develop standard operating procedures for all aspects of the small grant mechanism. The application review criteria (scoring scheme will be detailed in the POM) are summarized below:
  - i. How well does this project contribute to achieving the priorities of the CEPF Investment Strategy of the Ecosystem Profile?

- ii. Do you believe that the project approach and methodology are likely to achieve its stated objectives, and (where applicable) contribute strongly to sustainable conservation outcomes?
  - iii. Do you believe the applicant has the capacity and experience to implement this project effectively and efficiently, given its scale and complexity?
  - iv. Will the project help to strengthen Caribbean civil society organizations?
  - v. Does it appear that project results can be sustained beyond the phase of CEPF funding?
  - vi. Is the proposed funding request commensurate and reasonable given the project's scale, objectives and likely cost of the work?
- d. **Contracting:** Grant agreements for small grants will be issued by CANARI, following a small grant agreement template that has been approved in advance by the CEPF Secretariat, and that flows down all relevant requirements of the financing agreement between CI and the World Bank.
- e. **Timeline:** The RIT will award small grants throughout the life of the project, apart from the final year (to allow time for grants to be implemented and their impacts evaluated). Apart from the final year of the project, the RIT will aim to issue at least one call per country per year. The RIT will inform applicants about its decisions and document the awards as part of its regular reporting to the CEPF Secretariat.
- f. **Limitations:** Small grants will not be awarded either from the RIT or the CEPF Secretariat to Conservation International.

## Large Grants

Grants larger than \$50,000 will be awarded by the CEPF Secretariat. The same CSO can potentially receive two or more grants simultaneously for different programs or work. In practice, this is likely to happen only for the best-established organizations and for capacity-building grants. For grants in this category, a two-stage application process will be used. (see POM3.5). First, LOIs will be reviewed internally by the CEPF Secretariat and the RIT and, where required, by external peer reviewers with relevant technical expertise. Based on these initial reviews, a shortlist of LOIs will be prepared for consideration by the RAC.

The RIT coordinates the LOI review process, which may include consulting with other knowledgeable sources, such as international and local NGOs, appropriate government officials, CEPF donor partners in the hotspot, other donors, academics, and other experts.

Second, after a thorough, coordinated review of the project, and informed by the recommendations of the RAC, the CEPF Grant Director and the RIT will jointly decide which applicants will be invited to submit a full proposal. Applicants invited to submit a full Project Proposal (see POM17.4) will be asked to respond to a Financial Questionnaire (see POM17.6).

The grant agreement for large grants will flow down all relevant policies of Conservation International, as well as provisions from the financing agreement with The World Bank. The approved Project Proposal will be appended to the grant agreement as an attachment. The draft Grant Agreement will be reviewed by the Director of the Grants and Contracts Unit, before being submitted to the CEPF Executive Director for his or her signature. The Grants Manager will send the signed Grant Agreement to the named signing authority at the applicant for his or her countersignature. The Grant Agreement will be signed and countersigned electronically. If the application is declined at any stage, the Grant Director will write to the applicant explaining the reasons.



## Grants by Invitation

A grant by invitation is defined as a grant that is awarded without going through an open, competitive call for proposals. Grants by invitation may be awarded through both the large and small grant facilities. However, grants by invitation are the exception, rather than the norm. It may be appropriate to request a grant by invitation when an open call for proposals has not generated suitable proposals but there are also other instances where it may be appropriate and advantageous to request a grant by invitation.

## Decision-making flow diagram

The following diagram summarizes the process for deciding the grant modality and size. The first step is to decide whether to issue a competitive call or solicit a grant by invitation. The grant-by-invitation modality will be used when the following criteria are met:

- Grant supports the programmatic or cluster framework approach by building synergies across the existing portfolio of grants, allowing impacts in individual sites and corridors to be scaled up; OR
- Grant supports an actor known to possess a unique capability to implement a critical piece of the investment strategy; OR
- Grant addresses persistent gaps in the portfolio that repeated calls for proposals have not been able to fill; OR
- Grant responds to an emergency situation (e.g. an emerging threat or opportunity) where waiting for the next competitive call would significantly diminish the prospects of a successful outcome.

For all other situations, grants will be solicited via open, competitive calls.

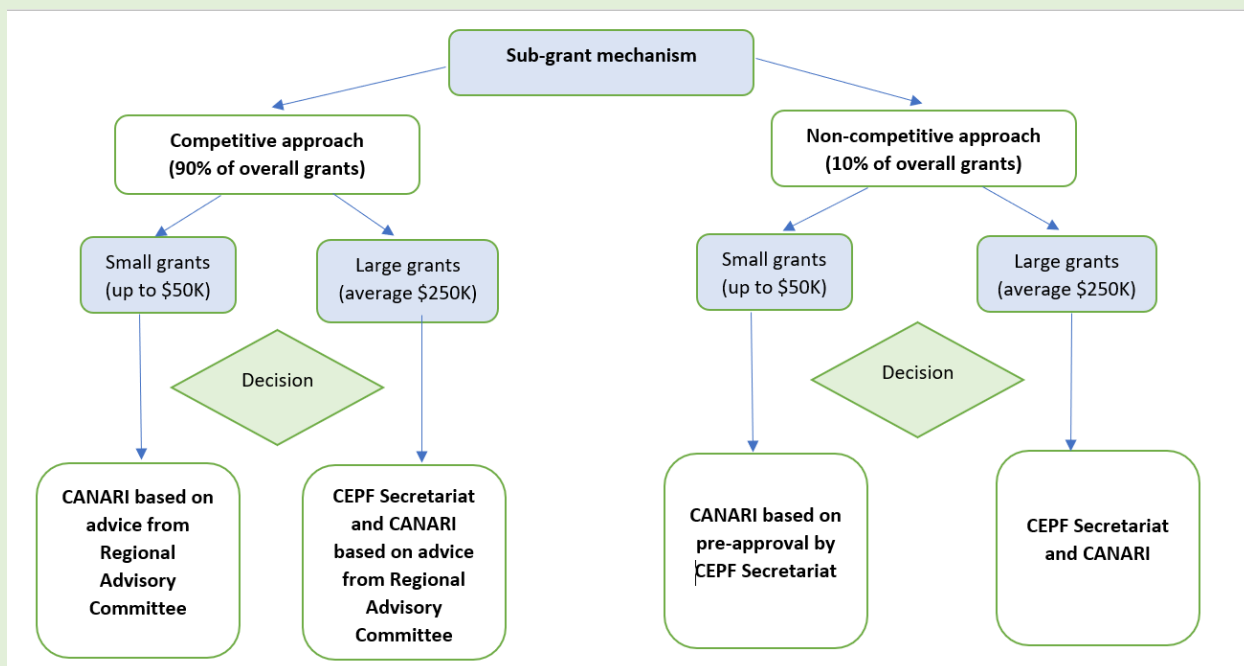
Whichever grant-making modality is adopted, the next step is to decide whether to solicit a large or small grant application. Large grant applications will be awarded when the following criteria are met:

- The applicant is a larger CSO with a demonstrated track record of implementing actions relevant to conservation; AND
- The applicant has good financial and operational systems and policies; AND

The scope of the objectives and conservation results are sufficiently ambitious to justify a grant of more than \$50,000, and the grant amount is commensurate with and proportional to the conservation results to be achieved. If any of these criteria is not met, the applicant will be invited to apply for a small grant.

Finally, all applications received will be reviewed against the eligibility criteria (see POM7.2) and the application review criteria (see POM17.5). Only applications that meet all of the eligibility criteria and score highly against the application review criteria will be shortlisted for review by the Regional Advisory Committee (see POM7.6); other applications will be rejected.





## 7.2 Eligibility Criteria

The Critical Ecosystem Partnership Fund (CEPF) grant decision-making process is based on the evaluation of proposals in accordance with the objectives and strategies of CEPF and the relevant ecosystem profile.

Proposals that target direct global environmental benefits and meet the following eligibility criteria are welcome:

- Project is located in the Caribbean Islands Hotspot.
- Project is located in a country that is not subject to sanctions under U.S. law or other applicable law.
- Project supports a strategic direction outlined in the Caribbean Islands Hotspot ecosystem profile and investment strategy.
- Grant applicant is authorized under relevant national laws to receive charitable contributions.
- Grant applicant is not a government agency or institution.
- Grant will not be used for activities involving child labor or forced labor.
- Grant will not be used for the purchase of land, physical resettlement of people, or activities that have potential to cause adverse impacts to critical habitat.
- Grant will not be used for activities involving the use of formulated pesticide products that meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies
- Grant will not be used to fund salaries or salary supplements of government security personnel, or to purchase of firearms or other weapons.
- Proposed activities observe all other relevant environmental and social standards.
- CEPF will not award grants for \$2 million and above, without special approval from the Donor Council (POM3.6).

In addition, CEPF encourages proposals that demonstrate the following characteristics, as relevant:

- Existence of co-financing or the ability to leverage additional funds.
- Demonstration of coordination with other organizations to reduce duplication of efforts.
- Existence of partnerships or alliances with one or more other organizations.
- Endorsements from other recognized agencies or authorities.
- Transnational or regional projects.
- Clear plans for continuation and/or replication after initial CEPF funding.
- Support to local communities in community-based or co-management activities for biodiversity conservation and actions that enhance local communities' tenure and resource use rights, and facilitate equitable and sustainable economic recovery post COVID-19.

### 7.3 Calls for Proposals and Applications

A schedule for calls for proposals will be determined jointly by the CEPF Secretariat and the RIT. There will be at least one call per country during the first five years of the project. Content of the calls will be determined jointly also, based on careful consideration of geographic and thematic priorities within the context of the investment strategy and funding available for each strategic direction. It is anticipated that the scope of the calls for proposals will become progressively narrower, as the sub-grant portfolio develops. After the first year, calls will address gaps in the portfolio, with regard to countries, priority sites and strategic directions, to ensure that all targets in the results framework are met.

A spending target will be established each year, as a guide to the number and size of grant awards. In exceptional cases, if the level of response to calls for proposals exceeds expectations, the number of sub-grant applications selected for award may exceed the spending target. In such cases, the CEPF Secretariat and RIT will jointly agree on a response, which may include requesting each applicant to make a reduction to its budget request, increasing the spending target (while making a corresponding reduction to the target for a future year), holding back some sub-grants whose activities are less time-sensitive for contracting the following year, or other appropriate action.

There will be no limit on the number of sub-grants awarded in each country. However, the distribution of the 43 priority sites by country (see POM 17.10) and the target in the results framework to reduce threats to biodiversity within at least 24 priority sites will combine to ensure that there is a geographic balance of sub-grants among the eight project countries.

Calls for proposals that include Haiti will be shared with the World Bank in advance to obtain the consensus and support of the Country Management Unit.

Calls for proposals will be posted on [www.cepf.net](http://www.cepf.net) and the website of the RIT, and advertised via channels, as appropriate, to reach local stakeholders. Each call will typically be open for five or six weeks, although the duration of the call may be shorter or longer than this in exceptional cases.

Calls for proposals will request submission of a Letter of Inquiry (POM17.3) and if an applicant is invited to prepare a full proposal, a proposal application (POM17.4).

### 7.4 Grants by Invitation

#### Criteria

A grant by invitation is defined as a grant that is awarded without going through an open, competitive call for proposals. Grants by invitation are the exception, rather than the norm. A maximum of 10 percent of

the budget allocation for sub-grants under Components 1 and 2 will be used for grants by invitation. It may be appropriate to request a grant by invitation when an open call for proposals has not generated suitable proposals but there are also other instances where it may be permissible and advantageous to request a grant by invitation. A grant by invitation may be requested when one or more of the following criteria are met:

- a) To build synergies across the existing portfolio of grants, allowing impacts in individual sites and corridors to be scaled up.
- b) To address persistent gaps in the portfolio that repeated calls for proposals have not been able to fill.
- c) For emergency situations, e.g. those of emerging threat or opportunity.
- d) To support an actor known to possess a unique capability to implement a critical piece of the investment strategy.

## Procedures

Approval to request a large grant by invitation is a joint decision of the CEPF Managing Director and the CEPF Grant Director. Approval to request a small grant by invitation is a joint decision of the CEPF Grant Director and the RIT Team Leader. Requests will only be approved when the persons responsible determine that an open call for proposals has not or will not result in a suitable application in terms of quality, timeliness and appropriateness of the applicant.

In the case of large grants, a grant by invitation may be accepted as:

- A Letter of Inquiry, followed by a full proposal, or
- A full proposal, omitting the Letter of Inquiry stage

In the case of small grants, a grant by invitation will be accepted in the standard application format.

Proposals submitted in response to the invitation are subject to all standard Secretariat, RIT, and external review procedures. In the case of large grants, these procedures include proposal review by the Grant Director, appropriate members of the RIT, and the Managing Director, budget and compliance review by the Grants Manager. All grant requests over \$250,000 are subject to external review. All grants to CI will require approval on a time-bound no objection basis by the Donor Council. Consideration of applications from CI will require recusal by the CI representative(s) on the Donor Council.

Documentation justifying the request and the selection of the grantee is prepared by the CEPF Secretariat in the case of large grants and by the RIT in the case of small grants. On an annual basis, this documentation is used to prepare a report to the Donor Council, summarizing the grants by invitation awarded during the year.

## 7.5 Letter of Inquiry (LOI) Review

The evaluation of proposals that meet the eligibility requirements will start with a review of the Letter of Inquiry (LOI), in which applicants will be given the opportunity to justify their proposal in terms of project rationale, project approach, link to CEPF investment strategy, long-term sustainability, and organizational strengths. LOIs will be reviewed against a standard set of criteria, which will be used by CEPF and RIT staff, Regional Advisory Committee members and external reviewers (POM17.5).

Small grants will be the responsibility of the RIT, although the RIT will remain in close communication with the CEPF Grant Director throughout the process, to ensure that the procedures set out in the operational manual and relevant World Bank policies are complied with, and to enable the large and small grant portfolios to be developed in a coordinated fashion. Following a call for proposals, each LOI received will be reviewed by at least two RIT members and at least two Regional Advisory Committee members, based upon their technical and geographic area of expertise and the language of the application. Where an LOI addresses a conservation issue for which relevant expertise is not found among the Regional Advisory Committee members, additional reviews may be sought from external experts. Reviewers, whether internal or external, will document their comments by completing scorecards, which will then be uploaded to the ConservationGrants system together with the final decision letter drafted by the RIT.

When the reviews have been conducted, the RIT Team Leader and Small Grants Manager will then meet with the relevant Country Coordinator to make a decision on each LOI. Where there is consensus among the reviews, a decision will be made to either reject the application or proceed to grant award. Where reviewers have expressed different views, a conference call will be held with the Regional Advisory Committee members and (where relevant) external experts who provided the reviews, with the aim of reaching a consensus decision. In the unlikely event that consensus cannot be reached, a final decision on the LOI will be made by the RIT staff. This must be a consensus decision among the RIT Team Leader, the Small Grants Manager and the relevant Country Coordinator; at no point will a grant award decision be made by any one individual.

Award decisions will be based on internal financial and programmatic reviews, and the independent advice provided by the Regional Advisory Committee. Following provisional approval, the RIT may meet with applicants to provide guidance on project design and proposal development, including the formation of partnerships. The RIT may award a sub-grant based on an approved LOI, or may request further proposal development if deemed necessary. Prior to contracting, the RIT will meet with applicants (in person or virtually) for a contract orientation, during which they are walked through the clauses of the sub-grant agreement before signing it.

Large grants will be subject to a two-stage application process. Following a call for proposals, the CEPF Secretariat will conduct an initial eligibility screening of LOIs and reject ineligible applications. Each LOI that meets the criteria for eligibility (see POM7.2) will be reviewed by the CEPF Secretariat, the RIT and at least two Regional Advisory Committee members. In some cases, other external technical experts may also be asked to review an LOI where the required expertise does not exist within the Regional Advisory Committee. The CEPF Secretariat and the RIT may also consult other knowledgeable sources, such as international and local NGOs, appropriate government officials, CEPF donor partners in the hotspot, other donors, academics, etc., to validate information and ensure strong coordination of efforts. Each reviewer will assign a score to the LOI, based upon the application review criteria (see POM17.5). There are six scoring questions, each of which with a different weighting, giving a total score from 0 to 100: (i) strategic importance (0-35 points); (ii) project approach and methodology (0-20 points); (iii) applicant capacity (0-15 points); (iv) potential to strengthen Caribbean civil society capacity (0-10 points); (v) sustainability (0-10 points); and (vi) budget (0-10 points). The LOIs that best meet the application review criteria will be shortlisted for review by the Regional Advisory Committee (see POM7.6).

The CEPF Grant Director and the RIT Team Leader will then review each LOI, taking into account the recommendations of the Regional Advisory Committee and other reviewers, and jointly decide whether

to invite the applicant to submit a full proposal. All decisions will be made on a consensus basis between the CEPF Secretariat and the RIT, and at no point will a grant award decision be made by any one individual.

The review processes for grants by invitation are described in POM7.4 and POM7.7.

### 7.6 Regional Advisory Committee (RAC)

Each small grant LOI will be reviewed by at least two RAC members, while all shortlisted large grant LOIs will be presented to meetings with Regional Advisory Committee members for review and recommendation. RAC members will be invited to attend the meetings based upon their technical knowledge, availability and language skills (few persons working in the environment sector in the Caribbean are fluent in English, French and Spanish, meaning that the composition of members may vary among meetings; each meeting will be attended by three members at minimum). Depending on the volume of applications for sub-grants under any given call, all shortlisted applicants under the call may be invited to present their project concept to the committee and respond to questions. In this way, the committee will be able to make an informed recommendation about whether to invite a particular applicant to develop a full proposal and, if so, whether any changes to project design are warranted. The committee's recommendations will be advisory. To avoid conflicts of interest, CSOs represented on the RAC by staff, advisors or members of the Board of Directors that have applied under a CEPF call for proposals will not be invited to review applications for that round of funding.

### 7.7 Proposal Review

Following a joint decision by the CEPF Grant Director and the RIT to invite an applicant to prepare a full proposal, the Grant Director will write to the applicant, notifying them of the decision. Applicants will be informed that CEPF is not mandated to award a grant, even though the LOI has been approved, and that grant award will be subject to the applicant satisfactory meeting all programmatic, financial and legal requirements. The Grant Director's notification will guide the applicant to initiate the preparation of the Project Proposal and necessary supporting documents such as environmental and social instruments, letters of support, etc. As a follow up, the CEPF Grants Manager will then contact the applicant to initiate the due diligence process with a request to fill in the different screening and compliance forms (Financial Questionnaire, W8/W9 Form and Security Screening Form).

The RIT will provide support to the proposal development process, in partnership with the Grant Director. One way in which this may be done is by organizing "sub-grantee masterclasses": collaborative proposal development workshops facilitated by staff of the CEPF Secretariat and RIT. The agenda will comprise a mix of training sessions on various elements of good project design, including financial management, communication, gender mainstreaming and environmental and social standards. It will also include sessions where applicants from the same priority site or cluster of priority sites work together to design complementary, mutually supportive projects, which are well aligned with other sub-projects in the same geographies.

After an applicant submits the Project Proposal, Financial Questionnaire, and other supporting documents, the CEPF Grant Director and Grants Manager will review them, seeking input from the RIT and/or external reviewers where required. In parallel, the Grants Manager will conduct a Financial Risk Assessment (see POM15.6), to determine the proper level of monitoring and reporting required for the applicant, and will conduct the Security Screening, as required by U.S. law and other applicable law.

The CEPF Grant Director and Grants Manager will communicate the results of the review to the applicant, and request modifications to the Project Proposal and/or supporting documents, if necessary. When the CEPF Grant Director is satisfied that an application is ready for approval, he or she will submit it to the CEPF Managing Director, for his or her review. Once an application has been approved by the Grant Director, Grants Manager and Managing Director, it will proceed to the contracting stage. The Grants Manager prepares a draft Grant Agreement (see Annex 17.9), which will flow down all relevant policies of Conservation International, as well as applicable provisions from the financing agreement with the World Bank. The approved Project Proposal and budget will be appended to the grant agreement as an attachment.

The draft Grant Agreement will then be reviewed by the Director of the Grants and Contracts Unit, before being submitted to the CEPF Executive Director for his or her signature. The Grants Manager will then send the signed Grant Agreement to the named signing authority at the applicant for his or her countersignature. To the extent legally permissible, the Grant Agreement will be signed and countersigned electronically.

If the application is declined at any stage, the Grant Director will write to the applicant explaining the reasons.

If a grant is proposed for award to CI, the CEPF Executive Director will submit the Project Proposal and a justification note to the CEPF Donor Council for approval on a time-bound, no-objection basis, following the process set out in POM7.4.

## 7.8 Conflict of Interest

CEPF is committed to ensuring that its transactions, engagements, and relationships are transparent and do not inappropriately benefit interested persons and organizations. CEPF implements CI' Conflict of Interest policy, which is applicable to all CI employees. As CEPF is administered by CI, all CEPF staff are CI employees. The policy states:

"All CI employees are required to complete and sign annual conflicts of interest disclosure forms. These forms are provided to employees at the start of each fiscal year by the General Counsel's Office (GCO).

In addition to these annual disclosures, if a proposed transaction arises in which an employee has, or believes s/he may have, a conflict of interest, the employee is required to make an immediate disclosure to the GCO and his/her immediate supervisor, using the conflicts of interest disclosure form available on CI's Intranet. This disclosure must be done prior to any consideration or execution of the proposed transaction by CI.

The employee shall not participate in the deliberations on the matter but shall disclose any material facts related to the proposed transaction. Upon a determination by the GCO that a conflict of interest exists, the GCO, working with the supervisor or division head, may request that those appropriate actions be taken to resolve the matter. The GCO shall maintain a record of the existence and resolution of the conflict of interest. In some cases, these conflicts may be reported in public filings. If the matter cannot be resolved in a satisfactory manner, but the employee, his/her supervisor and/or the respective division head are of the opinion that the transaction is nonetheless beneficial to the overall interests of CI, the respective division head and the GCO shall bring the matter to the attention of the Chief Executive Officer who shall make the final determination whether to pursue the transaction; provided, however, that if the

employee is also an officer, director, or in a position to exert substantial influence over the affairs of the organization, then the procedures outlined in Section II below apply.”

Proposed mitigation measures for any conflict of interest that pertains to CEPF’s Executive Director will be submitted to the Donor Council for consideration, and decision-making for the conflicted transaction will be elevated outside of the Executive Director’s chain of command.

CEPF has transparent and globally consistent eligibility criteria and decision-making processes that are approved by the CEPF Donor Council and widely publicized. An ecosystem profile for each region is also approved by the Donor Council and clearly sets out the parameters for investment. These investments adhere to environmental and social policies of the World Bank, as detailed in POM10.

All sub-grant recipients, including the RIT, also agree to adhere to specific ethical standards (see POM11) pertaining to the use of CEPF funds, as detailed in the grant agreement (see POM17.9).

Additional measures to be put in place for CEPF operations and decision-making that may present an actual or apparent conflict of interest are detailed below.

The RIT will provide strategic leadership in the Caribbean Islands Hotspot. It will have primary responsibility for building a broad constituency of civil society groups working across institutional and geographic boundaries toward achieving the shared conservation goals set out in the ecosystem profile. To avoid conflict of interest, CANARI, the RIT host organization, will not be eligible for additional grants in the Caribbean Islands Hotspot. Applications from formal affiliates of CANARI that have an independent operating board of directors will be accepted, but subject to additional external review.

### **Decision-making for Project Applications**

All applications for funding will be reviewed by the RIT, which will also manage the process for review of proposals with external reviewers and advisory committees, where relevant.

The RIT will award small grants, which are up to \$50,000. Grants above \$50,000 (referred to as 'large grants') will be awarded by CEPF, based on a joint decision by the RIT and the CEPF Secretariat.

At least two written external reviews will be required for all proposals requesting more than \$250,000. Consideration of applications from CI will require recusal by the CI representative(s) on the Donor Council and will require approval on a time-bound no objection basis by the Donor Council. CI is not eligible to receive small grants from the RIT nor sub-grants under large grants awarded by CEPF to other organizations; CI is eligible to receive grants (small or large) awarded directly by CEPF.

## **7.9 Complaint mechanisms**

The RIT will provide a written explanation to all small grant applicants whose proposals are unsuccessful as part of its focus on building civil society capacity. Applicants are encouraged to contact the RIT Team Leader or relevant Country Coordinator if they have additional questions about the decision. If the small grant applicant is not satisfied with the response, a grievance may be submitted to CANARI’s Executive Director by sending an email to [Executive.Director@canari.org](mailto:Executive.Director@canari.org) or by calling +1-868-638-6062.

CEPF will provide a written explanation to all large grant applicants whose proposals are unsuccessful as part of its focus on building civil society capacity. Applicants are encouraged to contact the RIT Team Leader or CEPF Grant Director if they have additional questions about the decision. If the applicant is not



satisfied with the response, a grievance may be submitted to the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously.

CEPF has also established specific procedures to enable local communities and other stakeholders to raise a grievance, at all times, to applicants, grantees, the RIT, and the CEPF Secretariat related to the implementation of Environmental and Social Standards. These are detailed in POM11. In addition, the World Bank has several mechanisms available to the public. These mechanisms include the Inspection Panel and the Department of Institutional Integrity ([www.worldbank.org/integrity](http://www.worldbank.org/integrity)), which investigates allegations of fraud and corruption related to World Bank Group-financed projects.

## 7.10 Security Screening

### Purpose

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, as the administrator of CEPF, CI is required to conduct due diligence for all CEPF funding recipients, which includes screening those recipients against international sanctions lists. As a US-based 501(c)(3), CI must comply with the US Patriot Act and Executive Order 13224 and demonstrate that all funds are used for charitable purposes and that funds are not used to support sanctioned entities or individuals. In order to meet those requirements, a security screening of all grantees must be performed. CI represents to the US Government, multinational and other funders and grantors and its donors that it follows a rigorous screening process for all recipients of funding.

### Policy

A new Security Screening must be processed prior to award of each new grant agreement and consulting/services agreement. Because management, project, and board positions all change over time, and the lists that we screen against are updated regularly, re-screening is required prior to award of every new grant and consulting agreement. All potential CEPF grantees and service providers are therefore asked to complete the Security Screening Form ("Form") before CEPF can enter into a grant agreement or consulting agreement with CEPF funding recipients. All of the entity and individual names on the Security Screening Form must be cleared for the Security Screening to be considered complete.

Personal data obtained in the processing of the Security Screening will not be retained in any CEPF or CI system once the Security Screening is complete.

### Procedure

CI uses a secure third-party database service to conduct its Security Screenings. The results of the Security Screening are stored in ConservationGrants. All Security Screenings are conducted by CI's Finance Division with support from the General Counsel's Office as necessary.

To process a new Security Screening for a new grant or consulting/services agreement:

- The Grants Manager (or, in the case of small grants, the RIT's Small Grants Manager) sends the Security Screening form, available in Annex 17.8, to the proposed grantee or consultant.
- The grantee or consultant completes the form, signs it and returns it to CEPF (or, in the case of small grants, to the RIT's Small Grants Manager, who returns it to CEPF).



- The Grants Manager reviews the Security Screening form to ensure it is completely filled out, signed, and legible.
- The Grants Manager submits the Security Screening form to the Security Screening workflow in ConservationGrants.
- The Grants and Contracts Unit within the CI Finance Division conducts the screening based on the information provided by the grant recipient in the completed Security Screening Form.
- If any of the names in the Security Screening Form are matches with names in the third-party database, the Grants and Contracts Unit may:
  - Automatically clear the match if any of the following categorical exclusions apply:
    - HHS Office of Inspector General Exclusion List: OIG
    - SAM Exclusion List: EPLS\_USDA\_FNS
    - SAM Exclusion List: EPLS\_OPM: "Debarment or Suspension from Participation as a Health Care Provider"
    - FINCEN Money Services Business (MSB)
    - NVOCC
    - State Level Healthcare Exclusions and Debarments
    - State Level Medicate Opt-Outs
  - Request additional information from the proposed grantee or consultant in order to verify that a true match does not exist
  - Escalate the match to the General Counsel's Office for a decision to clear or request additional information.
- Upon completion of the Security Screening, the Grants and Contracts Unit posts the Security Screening results in ConservationGrants and approves the workflow submissions.

### 7.11 World Bank debarred entity screening

For programs receiving World Bank funding, sub-recipients will also be screened by the Grants Manager against the World Bank's Suspended Entities list per the requirements in the World Bank's procurement policy. This additional screening will be documented in the Donor Compliance section in ConservationGrants.

### 7.12 Contracting

Once a large grant project proposal and budget had been approved by the Grant Director, the Grants Manager and CEPF Managing Director, the Grants Manager will draft the Grant Agreement and submit it through workflow within ConservationGrants for the Director of the Grants and Contracts Unit's review and approval.

Upon reception of this final approval, the Grants Manager will coordinate to seek CEPF Executive Director's signature, followed by the grantee's countersignature, and activate the grant in the database and process the initial payment.

Within three months of the contracting of a large grant, the grantee will be invited to a new grantee orientation, during which the key terms of the grant agreement will be explained in detail. This orientation will be provided in multiple languages, at minimum English, French and Spanish. Different technologies may be used to provide the orientation, including through an online training course, a conference call, instructional videos or (COVID-19 restrictions permitting) an in-person training.

### 7.13 Reporting by Sub-grantees

When the grant agreement is fully executed (signed by both parties), the grant is considered approved and becomes active in Conservation Grants, CEPF's grants management system. The grant commitment will then be booked, the grantee may begin work, and payments can be made as outlined in the agreement.

CEPF grants are managed by monitoring the grantee's technical and financial performance, tracking progress and completion for deliverables, reviewing payment requests, discussing grant issues with the grantee and local partners, conducting site visits, and ensuring adequate follow up to any issues that arise. In addition, CEPF and Regional Implementation Team staff members are available to answer questions about reporting and project specifics as well as to discuss biodiversity conservation challenges.

#### **Recording the Grant**

Cash disbursements to the grantee are recorded as expenses in Unit 4 Business World as they are paid and are recognized under GL 55000.

The extent of financial and technical monitoring conducted by CEPF and the reporting required of a grantee is dependent on the risk ratings and financial due diligence associated with the grantee (See Guidelines for Completing Risk Assessments, POM15.6). The grant agreement includes a schedule for financial and technical reporting and the terms for payments.

In the grants management system, CEPF will set up the reporting schedule(s) in order to help track whether a grantee is complying with the reporting requirements set forth in an agreement.

#### **Reporting and Monitoring**

The monitoring and evaluation arrangements for the project are described in greater detail in POM12.

#### ***Progress Reports***

Large and small grantees are required to submit technical reports according to the reporting schedule defined in their grant agreement. All reports submitted by large grantees must be reviewed and acknowledged by CEPF, while reports submitted by small grantees are reviewed by the RIT. Any performance issues that are identified should be discussed directly with the grantee. See Annex 17.15 for the CEPF Project Progress Report. Key questions that the reviewer should bear in mind include:

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

For large grants, progress reports are submitted online, through the ConservationGrants system. For small grants, they are submitted by email to the RIT. After reviewing the submitted reports, if any changes or clarifications are needed, the CEPF Grant Director (for large grants) or the Small Grants Manager (for small grants) sends an email to the grantee. After all comments have been addressed, the Grant Director or the Small Grant Manager marks the report as approved.

### ***Financial Reports***

The grantee must submit financial reports no less frequently than as set forth in their grant agreement as determined by the Financial Risk Assessment (see POM15.6). 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 September, and would be due 30 days later (or 30 October).

The grantee reports against the approved budget included in the grant agreement. Financial reports include prior period expenses, current period expenses, total expenses to date, budget balance, and projected cash needs for the next period. See POM17.16 for the CEPF Quarterly Financial Report Template. Program staff will analyze financial reports for accuracy and reasonableness in light of the project's progress to date.

For large grants, quarterly financial reports are submitted online, through the ConservationGrants system, while, for small grants, they are submitted by email to the RIT. After reviewing the submitted reports, if any changes or clarifications are needed, the CEPF Grants Manager (for large grants) or the Small Grants Manager (for small grants) sends an email to the grantee. After all comments have been addressed, the Grant Director and the Grants Manager, or the Small Grant Manager marks the report as approved. Only once a report has been approved can any advance payment for the next period be released.

The procurement procedures to be followed by the grantees are outlined in the CEPF Grant Agreement and follow CI's established policy. The CEPF Secretariat shall carry out prior review and approval of procurement requests estimated to cost \$5,000 or more. The RITs will carry out this review and approval for the sub-grants they award. All other procurements may be awarded by the grantees without prior review but are subject to post-review on a sample basis. Procedures for assessing procurement compliance include a thorough budget review during project design. Procurements are specifically reviewed as an integral part of the review of quarterly financial reports. For example, reviews include assessment of the relevant budget line items (furniture and equipment and professional services) for over-expenditures. Procurement review is also part of the financial site visits, where relevant.

### ***End of project reporting***

At project completion, all grantees will be required to submit a Final Completion and Impact Report (POM17.17) which includes quantitative reporting on impact. In addition, grantees that submitted baseline monitoring tools at the start of their grant will be required to submit final versions at the end, to allow changes over the duration of the grant to be monitored.

### **7.14 Programmatic Site Visits**

Each year, CEPF conducts programmatic site visits to selected grants, with priority being given to those that represent elevated risk due to their grant size, their triggering of Environmental and Social Standards, or other factors specific to the grants in question. In addition, CEPF and the RIT staff will often visit many additional grantees and projects beyond the required samples. Site visits help CEPF to confirm progress with activities and impacts to date reported through technical reports, and compliance with Environmental and Social Standards. CEPF staff can assess the grantee's capacity to continue implementation as planned and review or identify any potential constraints to success. Formal site visits

undertaken as part of the sampling discussed above result in a written summary of the visit containing recommendations, concerns, and follow-up steps, as appropriate.

### **Alternative Arrangements during COVID-19 Pandemic**

The public health response to the COVID-19 pandemic means that restrictions on international travel to and within the Caribbean region are likely to remain in place until the end of 2021 and possibly significantly beyond. In this context, alternative arrangements will be made to supervise sub-grants (including the RIT and CSAT grants), including use of teleconferencing platforms, telephone calls, videos shot on cell phones and other appropriate technologies. As part of the routine due diligence carried out for each sub-grantee, their needs with regard to IT and communication equipment and training will be identified, and suitable provision will be made in their sub-grant budgets to enable them to purchase the equipment they need to communicate with the CEPF Secretariat and RIT and access the online grants management system. When travel to and within the region becomes possible again, all necessary precautions will be taken during site visits to avoid transmission of the COVID-19 virus, in line with World Bank Environmental and Social Standard 4 on Community Health and Safety (see POM10).

For consultation activities during the COVID-19 pandemic, the project will follow the guidance given in the Technical Note: Public Consultations and Stakeholder Engagement in WB-supported Operations when there are Constraints on Conducting Public Meetings, dated March 20, 2020. For civil work during the COVID-19 pandemic, the project will follow guidance given in the ESF/Safeguards Interim Note: COVID-19 Considerations in Construction/Civil Works Projects, issued on April 7, 2020.

### **7.15 Procedures for amendments**

Grant recipients are required to report any substantial deviation from the budget and program plans and obtain prior approval from CEPF (or the RIT, in the case of small grants) for budget and program plan revisions that affect the following areas in the approved grant agreement:

- Change in scope or objectives of the project, even if there is no associated budget revision requiring prior written approvals
- No Cost extension of grant agreement period
- The need for additional funding or the need for a reduction in funding. For grants that will receive an increase in funding, the Grants Manager should evaluate if the original Financial Risk Assessment results are still appropriate or if additional reporting and monitoring requirements will be required.
- The transfer of funds among direct cost line items in the amount of 15 percent of the Total Grant.
- Changes of the key personnel specified in the application or award document
- Sub-grant to a third party, transfer or contracting out of any work under the grant (unless described in the Project Proposal and Budget and funded in the approved grant agreement with CI).

All amendment requests are managed through a module in ConservationGrants.

When requesting for budget revision, the grant recipient is required to submit an analysis that contains the following information through ConservationGrants:

- Budget description
- Current approved budget
- Proposed changes

- Variance between approved budget and proposed changes
- Narrative justification for proposed budget amendment
- Latest financial report

When requesting for project scope revision, the grant recipient is required to submit an analysis that contains the following information through ConservationGrants:

- Narrative description for the proposed scope changes
- Current approved Logframe
- Proposed changes within Logframe
- Latest progress reports

## 7.16 Procedures for issue tracking, suspension, and termination

Conservation International takes a zero-tolerance approach to fraud, bribery, and corruption and will uphold all applicable laws relevant to countering and investigating such activities across its global operations.

CI is committed to:

- developing an anti-fraud culture across the organization
- seeking to minimize the opportunities for fraud, bribery and corruption
- having effective systems, procedures and controls in place to enable the prevention and detection of fraud, corruption and bribery
- ensuring that its staff are aware of the risks of fraud, bribery and corruption and understand their obligations to report any actual or suspected incidents of fraud, bribery or corruption
- taking all reports of fraud, bribery and corruption seriously, and investigating them proportionately and appropriately
- meeting its obligations to report any incidents of fraud, bribery and corruption to appropriate external authorities.

The aim of CI's Anti-Fraud Policy is to:

- set out CI's responsibilities in observing and upholding its policy on fraud;
- provide information and guidance to CI employees and partners, grant recipients and their associates on how to recognize and deal with fraud issues; and
- establish standards of conduct for CI employees and partners, grant recipients and their associates so as to ensure that the relevant legislation is not violated.

CI's Anti-fraud policy applies to all staff members, CI contractors, experts, consultants and grantees. It is an integral part of CI's internal control policy framework and should be read and applied in conjunction with CI's Code of Ethics (Annex 17.21). It forms part of a series of related policies and procedures developed to provide sound internal financial controls and to counter any fraudulent activity. These include: codes of conduct for staff and trustees; anti-corruption and bribery policy; sanctions policy; safeguarding policy; privacy policies; sound internal control systems; effective internal audit; effective recruitment and selection procedures; disciplinary procedure; public interest disclosure (whistleblowing) procedures; and training.

All sub-grantees under the project will also be required to follow and comply with the Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants (Annex 17.21).

## 7.17 Close out of sub-grants

### **Grant close out**

At project completion, all grantees will be required to submit a Final Completion and Impact Report. Sub-grants will be closed upon verification that all deliverables have been completed, all progress, financial, and audit reports have been reviewed and approved and that the total grant amount has been reconciled. Reconciliation includes verification that all advances have been accounted for, the final payment has been issued, and any unspent funds have been returned and credited back to the portfolio for future grants.

Grantees that submitted baseline monitoring tools at the start of their grant will be required to submit final versions at the end, to allow changes over the duration of the grant to be monitored.

After a grant is closed, the CEPF Grant Director (or the RIT, in the case of small grants) will officially notify the grantee in a close-out letter that the grant is complete, and all deliverables have been approved. If applicable, a final payment or refund request will be processed at this time. Any unused funds received by the grantees should be refunded to the CEPF Bank Account and subtracted from the reported eligible expenditures. These funds are then available for other grants.

## 8. PROCEDURES FOR PROVISION OF TECHNICAL ASSISTANCE, MENTORING AND IMPLEMENTATION SUPPORT TO CSOS AND RIT

### 8.1 Introduction

Components 2 and 3 of the project are dedicated to capacity building. Component 2 will focus on strengthening the capacity of local, national and regional civil society in the conservation and sustainable use of biodiversity through targeted capacity development activities, and will be executed through a combination of sub-grants to CSOs, to build local, national and regional institutional capacity and foster stakeholder collaboration, and direct training and mentoring of CSOs by the RIT.

Component 3 pertains to the training that will be delivered to the RIT by the CEPF Secretariat, and will entail a RIT needs assessment based on which a technical assistance program for the Caribbean Islands RIT will be developed to improve its capacity to manage the grant portfolio and provide technical backstopping to all sub-grantees.

### 8.2 Criteria for selecting CSOs for support

CSOs selected to receive capacity building support will be required to meet the same standard eligibility requirements as other CSOs, as detailed in POM7.2, also listed below.

- Project is located in the Caribbean Islands Hotspot.
- Project is located in a country that is not subject to sanctions under U.S. law or other applicable law.
- Project supports a strategic direction outlined in the Caribbean Islands Hotspot ecosystem profile and investment strategy.
- Grant applicant is authorized under relevant national laws to receive charitable contributions.
- Government-owned enterprises or institutions are eligible only if they can establish i) that the enterprise or institution has a legal personality independent of any government agency or actor, ii) that the enterprise or institution has the authority to apply for and receive private funds, and iii) that the enterprise or institution may not assert a claim of sovereign immunity.
- Grant will not be used for activities involving child labor or forced labor.
- Grant will not be used for the purchase of land, physical resettlement of people, or activities that have potential to cause adverse impacts to critical habitat.
- Grant will not be used for activities involving the use of formulated pesticide products that meet the criteria of carcinogenicity, mutagenicity, or reproductive toxicity as set forth by relevant international agencies
- Grant will not be used to fund salaries or salary supplements of government security personnel, or to purchase of firearms or other weapons.
- Proposed activities observe all other relevant environmental and social standards.
- CEPF will not award grants for \$2 million and above, without special approval from the Donor Council (POM3.6).

### 8.3 Approaches to technical assistance, mentoring and implementation support to CSOs

Both components 2 and 3 start with capacity needs assessments. Under component 2, the RIT will undertake an assessment of the institutional landscape and capacity development needs in each target country, and then will develop and deliver a comprehensive capacity development program during the

lifetime of the project. Under component 3, CEPF will finance a capacity needs assessment of the RIT in order to develop a comprehensive training program that will assist the RIT to improve its capacity to manage the grant portfolio and provide technical backstopping to all sub-grantees, if required.

In delivering these training activities, CEPF and the RIT will undertake innovative training methods that emphasize experiential learning, sharing of lessons to engender replication of successes and understanding of failures, and dedicated sessions to build essential skills. Technical assistance will focus on strengthening the administrative, financial, fundraising and project management capacity of strategic CSO partners to implement conservation activities. Skills and lessons will be transferred through a range of mechanisms, which may include, grantee learning exchanges, networking, mentorship, workshops, seminars, webinars, hands-on activities in the field and coalition building among CSOs. While the travel restrictions related to the COVID-19 pandemic remain in place and international travel to and within the region is not possible, the emphasis will be on virtual mechanisms (webinars, virtual meetings, etc.) rather than face-to-face events. Options for exchanges and mentoring with partners in the same country will be explored, subject to compliance with national guidelines on COVID-19 (outdoor meetings, face coverings, etc.). Where a CSO has priority training needs that cannot be met by a suitable case study, mentor or trainer in the same country, virtual means will be used to provide access to expertise outside of the country. Where necessarily, the CSO will be provided with hardware and a data package to enable them to access this support online.

In addition, the RIT will organize grantee knowledge exchange workshops at project mid-point and end, to facilitate exchange of experience practice among sub-grantees that implement or have implemented projects in similar thematic areas, and to document and disseminate good practice.

#### 8.4 RIT Training

Component 3 of the project focuses on strengthening the role and breadth of the responsibilities assigned to the RIT. The RIT is central to the delivery of Components 1, 2 and 4, because it provides strategic leadership and local knowledge to build a broad constituency of CSOs working across institutional and political boundaries toward achieving the conservation goals described in the ecosystem profile. Activities included in this component include a RIT needs assessment based on which a technical assistance program for the Caribbean Islands RIT will be developed to improve its capacity to manage the grant portfolio and provide technical backstopping to all sub-grantees. The program will include training workshops on assessing the feasibility of proposed projects, identify technical and fiduciary risks of proposals and sub-grantees; and will provide refresher courses on biodiversity conservation and share newest developments in the field.

Additionally, and within 90 days of contract signature, the RIT will be trained in CEPF's policies and procedures as detailed in the Project Operational Manual and associated supporting documentation. This training will ensure that the RIT is familiar with the manual, and CEPF's expectations for them. All members of the RIT will attend this initial training, which will comprise a combination of in-person trainings, webinars and one-on-one training sessions. The World Bank Task Team will be invited to participate in the training as observers.

The initial RIT training comprises the following topics, at a minimum:

- Overview of CEPF
- Caribbean Islands Hotspot ecosystem profile and investment strategy



- Communication
- Grant application process
- Project cycle management
- Financial management
- Compliance (procurement, ethics, conflict of interest)
- Environmental and Social Standards
- Monitoring and Evaluation
- Reporting requirements
- Impact reporting tools and processes
- Gender policy
- Partnership building
- Liaison with government and private sector
- Capacity development of CSOs

CEPF will ensure that throughout the investment period the RIT maintains a high level of performance. The initial RIT training, and the subsequent technical assistance program that will arise from the RIT's capacity needs assessment will assure that the RIT has the necessary skills to implement a successful program.

## 9. PROCEDURES FOR FACILITATION OF PARTNERSHIPS TO IMPLEMENT CONSERVATION ACTIONS IN AND AROUND PRIORITY KBAS

### 9.1 Introduction

The conservation challenges that threaten globally important biodiversity in and around the priority KBAs in the Caribbean Islands Hotspot tend to be complex and multi-faceted, and not to lend themselves to simple solutions. In this context, no one actor can achieve success by itself. Rather, successful, sustained conservation actions depend upon good coordination among multiple actors, which leverage complementary skills, experience, networks and authority. In the context of the project, this means CSOs working with one another and in close coordination with local and national governments, private landowners, local communities to jointly analyze and co-create solutions to conservation challenges in non-confrontational ways. This approach is termed collaborative social accountability, and will be adopted by Component 4 of the project to facilitate partnerships of CSOs and other stakeholders to design and implement conservation actions in and around priority KBAs. Through this approach, relevant public sector institutions at the central government level and in target municipalities containing priority sites will receive technical assistance to establish collaborative social accountability mechanisms jointly with CSOs for problem-solving and monitoring biodiversity conservation.

In Dominican Republic, Antigua and Barbuda, Jamaica and Saint Lucia, this component will be led by INTEC, with co-financing support and oversight from the World Bank's GPSA. In The Bahamas, Dominica, Haiti and Saint Vincent and the Grenadines, it will be led by the RIT, learning from the experience of INTEC.

### 9.2 Approach to Coordinating Conservation Actions in and around Priority KBAs

Conservation actions implemented under the project will focus in and around 43 priority sites selected from among the full list of KBAs: sites that contribute significantly to the global persistence of biodiversity (see Annex 17.10). In this way, the available investment will address the highest conservation priorities and not be spread so thinly that it cannot achieve enduring impacts.

The priority sites were identified during the preparation of the ecosystem profile for the Caribbean Islands (see Annex 17.2). In total there are 24 geographies where partnerships for coordinated conservation action could be facilitated among communities, CSOs and public sector institutions, comprising 17 individual sites and seven clusters of priority sites (i.e. multiple sites in close proximity within a priority corridor). Fourteen of these geographies fall within countries where the CSAT will be responsible for facilitating partnerships (Antigua and Barbuda, the Dominican Republic, Jamaica or Saint Lucia), of which the CSAT will work in at least eight. These will be selected in consultation with the CEPF Secretariat, the GPSA Secretariat and the RIT. The remaining 10 geographies fall within the other countries, of which the RIT will work in at least four.

#### Priority Sites and Clusters of Priority Sites where Partnerships for Conservation Could be Facilitated

No.	Country	Geography	Priority KBA(s)
1	Antigua and Barbuda	Individual Site	North East Marine Management Area and Fitches Creek Bay

No.	Country	Geography	Priority KBA(s)
2	Antigua and Barbuda	Individual Site	Redonda
3	Bahamas	Individual Site	Andros Blue Holes National Park
4	Bahamas	Individual Site	Exuma Cays Land and Sea Park
5	Bahamas	Individual Site	Graham's Harbour National Park
6	Dominica	Individual Site	Morne Diablotin National Park
7	Dominican Republic	Cluster <sup>1</sup>	Parque Nacional Dr. Juan Bautista Pérez Rancier (Valle Nuevo) Parque Nacional Montaña La Humeadora Reserva Científica Ébano Verde
8	Dominican Republic	Cluster <sup>2</sup>	Monumento Natural Las Caobas Parque Nacional Jaragua Parque Nacional Lago Enriquillo e Isla Cabritos Parque Nacional Sierra de Bahoruco Parque Nacional Sierra de Neyba Refugio de Vida Silvestre Monumento Natural Miguel Domingo Fuerte (Bahoruco Oriental) Reserva Biológica Loma Charco Azul
9	Dominican Republic	Individual Site	Monumento Natural Cabo Samaná
10	Dominican Republic	Individual Site	Parque Nacional Los Haitises
11	Dominican Republic	Individual Site	Sierra Martín García National Park
12	Haiti	Cluster <sup>2</sup>	Lac Azuéi – Trou Caiman Parc National Naturel Forêt des Pins-Unité 1 Parc National Naturel La Visite
13	Haiti	Cluster <sup>3</sup>	Parc National Naturel de Grand Bois Parc National Naturel Macaya
14	Haiti	Individual Site	Aire Protégée de Ressources Naturelles Gérées de Baradères-Cayemites
15	Haiti	Individual Site	Aire Protégée de Ressources Naturelles Gérées des Trois Baies
16	Jamaica	Cluster <sup>4</sup>	Catadupa Cockpit Country Litchfield Mountain - Matheson's Run Peckham Woods
17	Jamaica	Individual Site	Blue and John Crow Mountains Protected National Heritage and surroundings
18	Jamaica	Individual Site	Dolphin Head
19	Jamaica	Individual Site	Negril and Surroundings
20	Jamaica	Individual Site	Portland Bight Protected Area

No.	Country	Geography	Priority KBA(s)
21	Saint Lucia	Cluster <sup>5</sup>	Castries and Dennery Waterworks Reserve and Marquis Iyanola and Grande Anse, Esperance and Fond D'ors Mandelé Protected Landscape
22	Saint Lucia	Individual Site	Pointe Sable
23	Saint Vincent and the Grenadines	Individual Site	Chatham Bay, Union Island
24	Saint Vincent and the Grenadines	Cluster <sup>6</sup>	Colonaire Forest Reserve Cumberland Forest Reserve Dalaway (Buccament Watershed) Richmond Forest Reserve

Notes: 1 = within the Cordillera Central Corridor; 2 = within the Massif de la Selle – Sierra de Bahoruco – Hoya de Enriquillo Basin Binational Corridor; 3 = within the Massif de la Hotte Highlands Corridor; 4 = within the North Coast Forest-Cockpit Country-Black River Great Morass-Central Spinal Forest Corridor; 5 = within the Iyanola - Castries and Dennery Waterworks Reserve and Marquis-Mandele Protected Landscape Corridor; 6 = within the Saint Vincent Central Mountain Range Corridor.

The geographies for Component 4 will not necessarily all be selected during the first year of the project. Indeed, it may be advantageous to pilot the approach in a smaller number of geographies, so that it can be refined based on experience before expanding to other geographies. A key consideration in selecting geographies will be the response to the open calls for proposals (see POM7.3). Most of the grant making under Component 1 will be reactive, based on robust review of Letters of Inquiry (LOIs) against objective criteria. It is not possible, therefore, to know in advance the geographic distribution of the applications that respond best to the selection criteria and are selected to proceed to the full proposal stage (or directly to the contracting stage, in the case of small grants).

Once the distribution of successful LOIs is known, the CSAT/RIT will select one or more geographies to concentrate on. This will not necessarily be the priority site or cluster of sites with the greatest number of successful LOIs. Other considerations will be taken into account, including potential for synergy/complementarity among proposed actions, and the presence and level of interest of public sector institutions and communities.

The selection of geographies will take place at the point when applicants are invited to proceed to the full proposal stage. This will ensure that there is, on the one hand, clarity about which applications are likely to be successful, while, on the other hand, flexibility to modify the design of the conservation actions.

CSOs invited to the full proposal stage will be given six weeks to consult with communities, government partners and other stakeholders, design their projects in detail, and prepare full proposals through the online system. During this window, the CSAT/RIT will engage with CSOs in the selected geographies, and bring them together with communities, public bodies and other stakeholders to build partnerships for conservation.

If several CSOs are proposing to work in the same geography, they may be requested to modify their project designs, to avoid duplication, increase synergy and respond to issues identified through collaborative problem solving. The CEPF Secretariat will verify with the CSAT and RIT that the design of large grants incorporates this feedback before moving to the contracting stage. This approach will be

repeated after each call for proposals until, over time, the number of priority sites and/or clusters with active collaborative social accountability mechanisms reaches the targets set for the CSAT and RIT.

It is not necessarily the case that, under any given call for proposals, all successful applications will be located within geographies where the CSAT or RIT is facilitating partnerships. With finite resources, the CSAT and RIT will only be able to build partnerships for conservation at a sub-set of priority KBAs and KBA clusters in the hotspot. Also, CSOs may propose activities that are a good fit with the investment strategy but do not necessarily warrant a collaborative social accountability approach.

Moreover, in some places, the RIT may decide to award small grants for pilot activities, to test the feasibility of innovative approaches and/or identify whether there is sufficient interest among communities and public bodies for a larger initiative. Where this is the case, these places could be the focus of further grant making and partnership development under subsequent calls.

#### Indicative Timeline for Facilitating Partnerships for Conservation Action

Step	Actor(s)	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Issue call for proposals (round 1)	RIT												
Review LOIs and select applicants to invite to full proposal stage (round 1)	CEPF; RIT												
Select pilot geographies (DR and Antigua and Barbuda)	CEPF; CSAT; GPSA; RIT												
Facilitate partnerships for conservation action in pilot geographies	CSAT												
Award CSO sub-grants (round 1)	CEPF; RIT												
Issue call for proposals (round 2)	RIT												
Review LOIs and select applicants to invite to full proposal stage (round 2)	CEPF; RIT												
Select additional geographies (Jamaica and St Lucia)	CEPF; CSAT; GPSA; RIT												
Facilitate partnerships for conservation action in additional geographies	CSAT												
Award CSO sub-grants (round 2)	CEPF; RIT												
Issue call for proposals (round 3)	RIT												

Step	Actor(s)	Year 1				Year 2				Year 3			
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Review LOIs and select applicants to invite to full proposal stage (round 3)	CEPF; RIT												
Select additional geographies (The Bahamas, Dominica, Haiti, St Vincent and the Grenadines)	CEPF; CSAT; GPSA; RIT												
Facilitate partnerships for conservation action in additional geographies	RIT												
Award CSO sub-grants (round 3)	CEPF; RIT												

### 9.3 Approach to Facilitating Partnerships for Coordinated Conservation Actions through Social Accountability Mechanisms

In each selected geography, the CSAT or the RIT (depending on the country) will apply collaborative social accountability methodologies and tools to facilitate partnerships for conservation. These partnerships will bring together central and local-level public sector institutions, CSOs, local communities and, where relevant, private sector actors, to co-create analyses of conservation problems and develop joint solutions.

The first step will be to develop and execute a harmonized capacity development plan aimed at providing training to CSOs on addressing conservation challenges through social accountability mechanisms. Priority will be given to CSOs that successfully pass the LOI review stage. In some cases, where resources allow, unsuccessful applicants may also be targeted. These organizations must be jointly assessed by the CEPF Secretariat and RIT as showing potential but needing further guidance or time to develop their project ideas.

Given the diversity of the contexts at the sites targeted by the project, it is anticipated that both CSOs based in capital cities and CBOs based in local communities will be included, based on a stakeholder mapping. Moreover, drawing on the GPSA's experience, government representatives will also be included in relevant capacity development activities.

The capacity development plan will be tailored to the contexts, capacities and needs identified collaboratively between the CSAT/RIT and the participants. The aim of the training will be to strengthen civil society's capacity for co-identifying conservation issues and co-producing solutions with community and government partners, as well as to increasing their civic oversight capacities to hold public sector institutions' accountable for their commitments.

After the participating CSOs have been trained, the next step will be for the CSAT/RIT to create continuous collaborative spaces for bringing together CSOs, public bodies and other stakeholders to build partnerships for conservation at the priority site/cluster of sites. The focus of the conservation challenges to be addressed will be guided by the design of the CSO sub-projects selected for award under Component 1.

In each selected geography, the CSAT/RIT will guide CSO grantees to facilitate the establishment of collaborative frameworks spelling out the terms of cooperation across stakeholders, including information sharing, actions to be jointly addressed, and joint capacity-building and technical assistance activities to enable such actions to be executed effectively. These frameworks may take the form of a formal agreement among stakeholders or they may be informal.

The collaborative frameworks will incorporate collaborative social accountability mechanisms, drawing on global experience from within the GPSA. Mechanisms may include, but not be limited to, periodic community meetings, systematic feedback gathering through community scorecards, social audits, and public hearings, as well as protocols for coordination across local and central levels. Feedback-gathering, systematization and channeling tools and mechanisms will be tailored to each country's context and existing initiatives, as applicable.

Where these are aligned with their objectives, the joint actions and capacity-building/technical assistance activities identified in the collaborative frameworks will be incorporated into the design of CSO sub-grants currently under development under Component 1. These actions and activities will, thus, be funded under the project. Other identified actions could be addressed under future calls for proposals under Component 1. Alternatively, the necessary funding could be leveraged from central or local government budgets or other sources. This will particularly need to be the case for actions led by public sector institutions, which cannot receive CEPF funding.

With guidance from the CSAT/RIT, the partners will agree on monitoring and evaluation systems, particularly context-specific indicators to monitor progress with conservation actions under their collaborative framework.

#### 9.4 Approach to Learning and Knowledge Management on Collaborative Social Accountability

Following the approach outlined in the previous section, the project will demonstrate collaborative social accountability mechanisms in at least 12 priority sites and/or clusters of sites within the Caribbean Islands Hotspot. The experience from this project will be relevant to other development actors, including central and local-level government and CSOs within the hotspot, CSOs and RITs in other biodiversity hotspots where CEPF is active, and other partners of the GPSA. To this end, the CSAT will design and implement knowledge-sharing and learning activities related to the experience with the tools and methodologies demonstrated under the project.

The CSAT will design a common monitoring, evaluation and learning system to assess and adjust progress using adaptive management and learning approaches. Using experience documented through this system, the CSAT will develop knowledge and learning products tailored to the primary and secondary beneficiaries (see below), which will help stakeholders learn about the use of social accountability mechanisms for biodiversity conservation.

The primary beneficiaries of Component 4 of the project will be:

- i. *Relevant CSOs in the Caribbean Islands Hotspot*, which will be identified through a stakeholder mapping. Additional organizations will be identified throughout the project implementation as more CSOs respond to calls for proposals under Component 1 or are engaged in capacity-building

activities under Component 2. Emphasis will be placed on engaging both professional, capital-city-based CSOs and grassroots CBOs.

- ii. *Relevant public sector institutions* at the central government level and in target municipalities will receive support to establish collaborative social accountability mechanisms with CSOs for joint problem-solving and monitoring of biodiversity conservation.

The secondary beneficiaries will be:

- i. *Local communities living in and around priority KBAs*, which will benefit from improvements in environmental resilience as a result of better state-civil society collaboration, policies, and spending in biodiversity conservation.
- ii. *Public officials and development partners*, who can take up elements of collaborative social accountability processes to apply, sustain or scale collaborative social accountability and/or inform substantive decisions.
- iii. *Other key stakeholders*, including private landowners and other private sector actors, who can participate in project activities, such as policy dialogues and joint problem-solving sessions.



## 10. ENVIRONMENTAL AND SOCIAL STANDARDS

### 10.1 Environmental and social standards relevant to the project

The project will apply the World Bank Environmental and Social Framework (ESF), that sets out the World Bank's commitment to sustainable development, through a Bank Policy and a set of Environmental and Social Standards (ESS) that are designed to support Borrowers' projects, with the aim of ending extreme poverty and promoting shared prosperity. The requirements of the ESF that apply to Borrowers (and other recipients of World Bank-managed funds) are set out in the Environmental and Social Commitment Plan (ESCP). Of the 10 ESSs, eight are relevant to the project, as set out in the following table. CEPF will notify and discuss with the World Bank any significant changes to the project that may affect the relevance of the ESSs.

#### World Bank ESSs Relevant to the Project

World Bank ESS	Relevance to the project	Justification
<b>ESS1:</b> Assessment and Management of Environmental and Social Risks and Impacts	Relevant	Although the project does not involve any civil works, it has a fairly large scope covering a large geographical area (1.3 million hectares) of high biodiversity value in multiple locations throughout the Caribbean region. Restrictions on access or use can occur, resulting in loss of access to land and, potentially, some livelihood insecurity for the populations, albeit on a local scale. Environmental impacts are likely to be minor and reversible.
<b>ESS2:</b> Labor and Working Conditions	Relevant	The design of the project involves: direct workers, employed or engaged directly by the CEPF Secretariat; contracted workers, employed or engaged by the RIT, the CSAT and sub-grantees; and potential community workers, employed or engaged by sub-grantees in the context of sub-projects. Potential labor risks include discrimination, workplace injuries and the transmission of COVID-19.
<b>ESS3:</b> Resource Efficiency and Pollution Prevention and Management	Relevant	Invasive alien species are a major threat to priority KBAs and globally threatened species in the Caribbean Islands. It is anticipated that sub-project activities may include control and eradication of invasive alien species, and that, in some cases, this will require application of herbicides, rodenticides and other pesticides.
<b>ESS4:</b> Community Health and Safety	Relevant	It is anticipated that sub-project activities may include provision of training and support to security personnel (park guards, community rangers, etc.) involved in law enforcement. The activities of these personnel will require close oversight to avoid abuses of power. Also, application of pesticides involves health risks to workers and the public, which must be avoided or minimized. Finally, the project is being implement in a region with a high risk of extreme weather events, which requires attention being given to emergency preparedness and response activities.

World Bank ESS	Relevance to the project	Justification
<b>ESS5:</b> Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	Relevant	CEPF does not support land acquisition or resettlement (voluntary or involuntary) and no such activities will be supported under the project. In order to address unsustainable, illegal and destructive forms of natural resource use that threaten priority KBAs and globally threatened species, sub-projects may introduce or strengthen restrictions on access to legally designated parks and protected areas. These restrictions could potentially have adverse impacts, which need to be minimized or, where unavoidable, mitigated through provision of compensation or alternative livelihoods.
<b>ESS6:</b> Biodiversity Conservation and Sustainable Management of Living Natural Resources	Relevant	The sub-activities will take place in a biodiversity hotspot. Of the 43 KBAs that have been identified as a priority for conservation, 17 KBAs are considered wholly irreplaceable on a global scale because they contain the only known populations of a globally threatened species. Since the sites are irreplaceable for Critically Endangered and Endangered species, they also qualify as Alliance for Zero Extinction sites, the most urgent site level conservation priorities on a global scale. The Project will fund sub-projects to strengthen the protection of selected sites and build local capacity. The Project is expected to have positive conservation outcomes.
<b>ESS7:</b> Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities	Not relevant	There are no Indigenous Peoples in seven of the Caribbean Islands countries covered by the project. In the eighth country, Dominica, there are the Kalinago people, who are descendants of the pre-Colombian inhabitants of the Caribbean. The Kalinago people reside on the east coast of the island, away from the single priority site: Morne Diablotin National Park. They will not, therefore, be affected by the project.
<b>ESS8:</b> Cultural Heritage	Relevant	One of the priority KBAs where the project will support activities is a mixed Natural and Cultural World Heritage Site. It is possible that sub-project sites may have tangible and/or intangible cultural heritage.
<b>ESS9:</b> Financial Intermediaries	Not relevant	The project design does not involve any financial intermediaries.

World Bank ESS	Relevance to the project	Justification
<b>ESS10:</b> Stakeholder Engagement and Information Disclosure	Relevant	There is also some concern about social risks in terms of exacerbation of existing patterns of social exclusion, participation and elite capture of benefits. Project activities, including sub-projects, will be implemented in places with stakeholders, including local communities, national and local authorities, and other CSOs. Stakeholder engagement is key to ensuring that the conservation actions supported under the project are environmentally and socially sustainable, and do not have any adverse impacts, whether anticipated or unanticipated.

## 10.2 LOI submission

Through an open call for proposals, CSOs will be invited to apply for sub-grants by submitting project concepts in the form of an LOI (see POM7.5). Each LOI will include a description of the project approach, project location and dates of implementation, as well as responses to the environmental and social screening questions (see POM17.3). The responses to these questions will be used to determine which ESSs apply to the sub-project.

## 10.3 Screening

Before proceeding to technical review by the Regional Advisory Committee (see POM7.6), all LOIs will be screened by the CEPF Secretariat (in the case of large grants) or the RIT (in the case of small grants). During the screening step, LOIs will be reviewed against a set of eligibility criteria developed specifically for the project (see POM7.2), which apply to the sub-grantee organization, the location of the sub-project and the types of activities being proposed. Based on the results of the screening, applications may be rejected or further assessed against project review criteria, which will be applied as a second step in the review process.

The eligibility criteria will include application of a “negative list”. Applications for sub-projects proposing activities on the negative list will be either rejected or allowed to proceed only if the sub-project is redesigned to remove these activities.

### Negative List of Ineligible Activities

- The use of child or forced labor.
- Purchase and use of formulated products that fall in the World Health Organization classes IA and IB or formulations of products in class II if they are likely to be used by, or be accessible to, lay

personnel, farmers or others without training, equipment and facilities to handle, store and apply these products properly.

- Financing of elections or election campaigning.
- Funding salaries or salary supplements of government security personnel.
- Purchase of firearms or other weapons.
- Activities that contravene local laws related to purchase and consumption of tobacco, alcoholic beverages and other drugs.
- Manufacture of alcohol for local consumption and/or cultivation of crops for this purpose.
- Activities carried out in relation to the adjudication of lands under dispute.
- Physical resettlement of people (voluntary or involuntary).
- Purchase of land.
- Activities that have potential to causes adverse impacts to critical habitat.
- Conversion, deforestation or degradation of natural forests or other natural habitats, including, among others, conversion to agriculture or tree plantations.
- Activities related to commercialization of illegal timber and non-timber forest products.
- Construction and/or restoration of religious buildings.
- Removal or alteration of any physical cultural heritage property (includes sites having archeological, paleontological, historical, religious or unique natural values).

#### 10.4 Risk assessment

All sub-project applications that pass the screening step will undergo a risk assessment. This will take place at the LOI review stage, to allow sufficient time for measures to be agreed upon and implemented during sub-project preparation. The risk assessment will be in line with the ESS instruments elaborated for the project and based upon information provided in the LOI, plus communication with the sub-grantee to clarify any issues. The results of the risk assessment are not fixed and can be revisited at any point during sub-project preparation and implementation, if new information comes to light or unanticipated risks and impacts emerge. This could lead to a determination that one or more ESSs no longer apply, or that one or more additional ESSs apply.

The CEPF Secretariat (in the case of large grants) or the RIT (in the case of small grants) will first review the following indicative lists of risks and impacts, to identify any that may be relevant to the sub-project. These are not intended to be exhaustive lists; if additional risks and impacts are identified, these will be added.

##### **Indicative List of Environmental Risks and Impacts**

- Pollution of natural ecosystems from pesticides.
- Harm to non-target species during eradication or control of IAS.
- Conversion of habitats due to expansion of commercial agriculture or forestry plantations.
- Introduction of IAS.
- Overharvesting of living natural resources.

##### **Indicative List of Social Risks and Impacts**

- Hazards to project workers.
- Hazards to local people.
- Physical, psychological or sexual abuse of project workers.
- Unfair treatment or discrimination of project workers.

- Health impacts from unsafe storage or use of pesticides.
- Security personnel engaging in unlawful or abusive acts against local people.
- Transmission of COVID-19 or other communicable diseases.
- Involuntary resettlement of people, due to physical and/or economic displacement.
- Restrictions on access to natural resources within a protected area or communally managed property.
- Disturbance or damage to cultural heritage.
- Risk of elite capture and/or social exclusion.

Next, the CEPF Secretariat (or the RIT), will assess the magnitude of each risk/impact against criteria of probability and severity, as shown in the Risk Assessment Matrix below. The probability of each risk/impact will be rated from “rare” (least probable) to “almost certain” (most probable), while the severity of each risk/impact will be rated from “negligible” (least severe) to “catastrophic” (most severe). Based upon these ratings, each risk/impact will be assigned a rating of “low”, “moderate”, “substantial” or “high”. The overall sub-project will take the highest risk rating for individual risks/impacts. For example, a project with three “low” risks and one “substantial” risk will be given the overall rating of “substantial”.

#### Risk Assessment Matrix

Probability of risk/impact	Severity of risk/impact				
	Negligible	Minor	Moderate	Major	Catastrophic
Almost certain	Moderate	Substantial	Substantial	High	High
Likely	Moderate	Moderate	Substantial	Substantial	High
Possible	Low	Moderate	Moderate	Substantial	Substantial
Unlikely	Low	Low	Moderate	Moderate	Substantial
Rare	Low	Low	Low	Moderate	Moderate

All large grantees will be required to prepare: (i) a sub-grantee-level Stakeholder Engagement Plan (SEP), including a GRM for stakeholders; (ii) a sub-grantee Labor Management Procedures, including a GRM for project workers and (iii) a sub-grantee-level Health and Safety Plan, including guidance on COVID-19 prevention. Small grantees whose sub-projects have an overall risk rating of “low” will not be required to prepare these three documents but, simply, to incorporate relevant information about environmental and social risks into their proposals. For large and small grants with an overall risk rating of “moderate”, sub-grantees will be required to prepare instruments for the applicable ESS(s), as shown in the following table. For sub-projects with an overall risk rating of “substantial”, sub-grantees will also be required to prepare instruments for the applicable ESS(s), as shown in the following table; they will also be subjected to enhanced monitoring and further due diligence, including submission of environmental and social instruments to the World Bank for prior approval. Application for sub-projects with an overall risk rating of “high” will be rejected.

## Documentation Requirements by Risk Rating

ESS	Risk rating*			
	Low	Moderate	Substantial	High
<b>ESS1:</b> Assessment and Management of Environmental and Social Risks and Impacts	None	Initial Environmental Examination / Environmental and Social Impact Management Plan in accordance with the Environmental and Social Management Framework (ESMF)	Environmental and Social Impact Assessment / Environmental and Social Management Plan in accordance with the Environmental and Social Management Framework (ESMF)	N/A (application rejected)
<b>ESS2:</b> Labor and Working Conditions	Simplified Labor Management Procedures (LMP) (including GRM). The simplified LMP will be in accordance with the project level LMP.	Sub-grantee-level Labor Management Procedures (including GRM). The sub-grantee level LMP will be in accordance with the project level LMP.	Sub-grantee-level Labor Management Procedures (including GRM) The sub-grantee level LMP will be in accordance with the project level LMP.	N/A (application rejected)
<b>ESS3:</b> Resource Efficiency and Pollution Prevention and Management	None	Sub-grantee-level Pest Management Plan in accordance with the Environmental and Social Management Framework	Sub-grantee-level Pest Management Plan in accordance with the Environmental and Social Management Framework	N/A (application rejected)
<b>ESS4:</b> Community Health and Safety	Simplified Health and Safety Plan	Sub-grantee level Health and Safety Plan in accordance with the Environmental and Social Management Framework	Sub-grantee level Health and Safety Plan in accordance with the Environmental and Social Management Framework	N/A (application rejected)

ESS	Risk rating*			
	Low	Moderate	Substantial	High
<b>ESS5:</b> Land Acquisition, Restrictions on Land Use and Involuntary Resettlement	None	Action plan elaborated with local population to implement the Process Framework. It contains measures to assist affected persons.	Action plan elaborated with local population to implement the Process Framework. It contains measures to assist affected persons.	N/A (application rejected)
<b>ESS6:</b> Biodiversity Conservation and Sustainable Management of Living Natural Resources	None	Initial Environmental Examination / Environmental Management Plan in accordance with the Environmental and Social Management Framework	Environmental Impact Assessment / Environmental Management Plan in accordance with the Environmental and Social Management Framework	N/A (application rejected)
<b>ESS8:</b> Cultural Heritage	None	Sub-grantee-level Cultural Heritage Plan and/or Chance Find Procedure, in accordance with the Environmental and Social Management Framework	Sub-grantee-level Cultural Heritage Plan and/or Chance Find Procedure, in accordance with the Environmental and Social Management Framework	N/A (application rejected)
<b>ESS10:</b> Stakeholder Engagement and Information Disclosure	Sub-grantee-level Stakeholder Engagement Plan (SEP) (including GRM). The sub-grantee-level SEP is in accordance with the project-level SEP. The SEP is proportionate to the specific environmental and social risks of the sub-project.	Sub-grantee-level Stakeholder Engagement Plan (including GRM). The sub-grantee-level SEP is in accordance with the project-level SEP. The SEP is proportionate to the specific environmental and social risks of the sub project.	Sub-grantee-level Stakeholder Engagement Plan (including GRM). The sub-grantee-level SEP is in accordance with the project-level SEP. The SEP is proportionate to the specific environmental and social risks of the sub project.	N/A (application rejected)

## 10.5 Provision of guidance

The CEPF Secretariat (or the RIT) will provide the sub-grantee with the Project ESMF, the relevant standard(s), from the World Bank website, together with internal guidance note(s) on the application of these standard(s) in the context of the CEPF project. The sub-grantee will also be provided with templates of any environmental and social instruments from the ESMF that need to be prepared in order to comply with the relevant standards. Additional guidance on compliance with the ESSs, including worked examples of instruments, will be made available on the CEPF website.

Where the sub-grantee has limited experience with compliance with the World Bank ESSs or similar standards, the CEPF Secretariat and the RIT will provide hands-on assistance with developing the environmental and social instruments. This could be provided on a one-to-one basis (either in person or virtually) or in the context of a workshop. Where relevant, World Bank environmental and social specialists will be invited to participate in training workshops to help strengthen sub-grantees' capacity in compliance with ESSs, and to respond to questions about interpretation of the standards in the context of specific sub-projects.

## 10.6 Preparation of environmental and social instruments

Following the guidance provided by the CEPF Secretariat (or the RIT), the sub-grantee will prepare the required environmental and social instruments (e.g. the Action plan to implement the requirements of the Process Framework, sub-grantee level Pest Management Plan, etc.). This will also include, where appropriate, incorporation of gender-sensitive criteria to assess risks and impacts under the applicable ESS(s), and specific actions to close identified gender gaps, as well as indicators to monitor actions designed to address or narrow these gaps. The CEPF Secretariat (or the RIT), will review these instruments prior to approving the sub-grant for contracting. For sub-projects with an overall risk rating of "substantial", these instruments must also be reviewed and approved by the World Bank prior to contracting. The final, approved versions will be publicly disclosed on the CEPF website.

## 10.7 Sub-project grievance redress mechanism

Each sub-grantee will be responsible for establishing a GRM for project workers under ESS2, plus a separate GRM for community members and other stakeholders under ESS10, which will also meet the requirements of any other ESSs that apply to the sub-project.

Each GRM will provide a mechanism whereby affected persons may raise a grievance, at any time, and whereby this grievance may be considered and satisfactorily resolved. Where possible, each GRM will utilize existing formal or informal grievance mechanisms, supplemented as needed with sub-project-specific arrangements designed to resolve disputes in an impartial manner.

Regarding the GRM for project workers, the sub-grantee will make the mechanism accessible to all direct and contracted workers. The sub-grantee will inform workers, at the time of their employment, of the existence of the grievance mechanism and of measures to protect them against any reprisal for its use. Sub-grantees may utilize existing grievance mechanisms, provided they are properly designed, sufficiently responsive and readily accessible to project workers. Alternatively, existing mechanisms may be supplemented with project-specific arrangements.

Regarding the GRM for community members and other stakeholders, the sub-grantee will inform stakeholders of the objectives of the sub-project, the relevant provisions of the relevant ESSs, and the



existence of a GRM. Contact information of the sub-grantee, the RIT and the CEPF Secretariat will be made publicly available using locally appropriate means (e.g., posters, community meetings, radio broadcasts, articles in print media, etc.).

In the first instance, grievances should be submitted to the sub-grantee. However, in case that the claimant is not comfortable in raising the matter directly with the sub-grantee, they should have the option of raising it with the RIT. Upon receiving a grievance, the sub-grantee (or RIT) should confirm receipt with the claimant.

All reported grievances will be treated confidentially, and there will be no retribution to the claimant by the sub-grantee, RIT or CEPF Secretariat. Retribution to a claimant by the sub-grantee will be grounds for suspension or termination of the sub-grant.

Any grievances received by the sub-grantee must be reported to the CEPF Secretariat (or the RIT, in the case of small grants) within 15 days, together with a proposed plan to address the grievance. The CEPF Secretariat will maintain a log of grievances, which it will include in its annual reporting to the World Bank; serious incidents will be reported within 15 days. If complainants are not satisfied with the way in which their grievance has been handled by the sub-grantee, they will be given the opportunity to raise it with the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal

(<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously. If the claimant is still not satisfied, following the response by the CEPF Executive Director, they will be given the option of submitting their grievance to the World Bank's Grievance Redress Service but this should only be accessed after other GRM options have been exhausted by the claimant. The RIT and CEPF Secretariat will aim to resolve all grievances within 60 days of receipt.

### **The World Bank Grievance Redress Service (GRS)**

The complainant has the option of approaching the World Bank, if they find the established GRM cannot resolve the issue. **It must be noted that this GRS should ideally only be accessed once the project's grievance mechanism has first been utilized without an acceptable resolution.** World Bank Procedures require the complainant to express their grievances in writing to World Bank office in Washington DC by completing the bank's GRS complaint form, which can be found at the following link:

<http://www.worldbank.org/en/projects-operations/products-and-services/grievance-redress-service#5> .

Completed forms will be accepted by email, fax, letter, and by hand delivery to the GRS at the World Bank Headquarters in Washington or World Bank Country Offices.

**Email:** [grievances@worldbank.org](mailto:grievances@worldbank.org)  
**Fax:** +1-202-614-7313  
**By letter:** The World Bank  
Grievance Redress Service (GRS)  
MSN MC 10-1018 NW,  
Washington, DC 20433, USA

### **Special provisions related to gender-based violence (GBV)**

Special provisions will be made for grievances related to GBV, due to the need for complaints to be handled by persons with specialist training and adopting a survivor-centered approach. The CEPF Secretariat will maintain a list of GBV service providers, vetted by the World Bank, for each participant

country. This list will be provided to sub-grantees, prior to the start of sub-project activities. They will be required to include the contact details of the relevant GBV service provider in their GRMs for project workers and for community members and other stakeholders. Survivors of GBV will have the option of contacting the GBV service provider directly, who will, in-turn, inform the CEPF Secretariat, with the express consent of the survivor.

## 10.8 Stakeholder engagement and public consultation

Consultations with key stakeholders, beneficiaries and affected people will be systematically carried out during preparation and implementation of each sub-project, in line with the requirements of ESS10. Meaningful consultations will be undertaken in a manner that provides affected communities and other stakeholders with opportunities to express their views on environmental and social risks and impacts of the sub-project, and mitigation measures (including the GRM), and allows the sub-grantee to consider and respond to them.

All sub-grantees will be required to develop a Stakeholder Engagement Plan, proportionate to the scope of sub-project activities and associated risks, including contextual risks for engagement with affected communities and other stakeholders and following worked examples and other guidance made available on the CEPF website. The plan will ensure that all vulnerable and disadvantaged groups are identified and consulted to reduce the chance of elite capture under the project. This plan must include a GRM for the project. The plan must also detail how the sub-grantee will monitor and evaluate the effectiveness of the stakeholder engagement activities. Where other environmental and social instruments are required for a sub-project, the Stakeholder Engagement Plan may be incorporated into those instruments, to reduce workload for the sub-grantee, provided that the requirements of ESS10 are met.

This engagement will take advantage of the channels already established by CSOs, as well as the partnerships for conservation among CSOs and between them and communities, local and national government, and other stakeholders, which will be established under Component 4 of the project. A baseline survey will be conducted and followed up by mid-term and end-of-project surveys to assess the impact of the project on affected communities and their satisfaction with the performance of the project. For each sub-project, plans for stakeholder engagement will be set out in detail in the sub-grantee-level Stakeholder Engagement Plan, with its GRM.

Consultations may take the form of one-on-one interviews, small-group consultations, public meetings or stakeholder workshops. Consultations may be in-person or virtual. Indeed, virtual meetings may be a necessity, as long as social distancing, travel restrictions and other measures to control transmission of the COVID-19 virus remain in place. For any possible face-to-face consultations, the sub-grantees will ensure that that project adheres to proper physical distancing protocols, such as those established by the WHO. Whichever forms of consultation are used, attention will be given to using local languages, and ensuring that voices of men and women are both heard. In some contexts, this may require holding separate consultations for men and women. Stakeholder engagement will also be used to ensure that all the vulnerable groups within the project area are identified and consulted. Among others, vulnerable groups are identified as poor women, youth, LGBTI persons and persons with disabilities.

## 10.9 Capacity building

The sub-grantee may include components in its sub-project to strengthen its legal or technical capacity to carry out key environmental and social assessment functions. If the CEPF Secretariat (or the RIT)

concludes that the sub-grantee has inadequate legal or technical capacity to carry out such functions, it may require capacity strengthening activities to be included as part of the sub-project. Such a determination would usually be made during the review and due diligence process, prior to sub-grant award, but it may also be made during project implementation, should a need be identified. Capacity building in ESS compliance may be carried out by the CEPF Secretariat, the RIT or third-party service providers approved by CEPF or the RIT.

### 10.10 Implementation of mitigation measures

During implementation, the sub-grantee will be responsible for compliance with the applicable ESSs, including implementation of all agreed measures in final sub-project proposal (which will form part of the sub-grant agreement). These measures should be budgeted for and incorporated into the design of the sub-project as activities with related deliverables.

The following table identifies possible measures and actions to reduce potentially adverse environmental and social risks and impacts to acceptable levels. These measures and actions will be taken in accordance with the mitigation hierarchy, under which adverse impacts are first avoided, then reduced, then mitigated and finally (if any residual impacts remain) compensated for or offset. These measures and actions will be elucidated in greater detail in the design of individual sub-projects/sub-grantee-level instruments including, where required, in stand-alone environment and social instruments (ESIAs/ESMPs, Stakeholder Engagement Plans, etc.). In this regard, the table can be considered an indicative list of the types of measures and actions that will be taken under the project.

#### Potential Impacts and Mitigation Measures

Risk/Impact	Measure/Action			
	Avoidance	Reduction	Mitigation	Compensation
<b><i>Environmental Risks and Impacts</i></b>				
Pollution of natural ecosystems from pesticides	Use alternatives to pesticides, such as physical removal / trapping; avoid most hazardous chemicals	Use pesticides as a component of integrated pest management, following the Pest Management Procedures	Implement protocols on safe storage and handling of pesticides; deliver staff training; implement health and safety plan	N/A
Harm to non-target species during eradication or control of IAS	Avoid pesticides with a broad range of target species / indiscriminate application	Minimize volume / area of treatment; combine with non-lethal trapping where possible	Establish captive populations of endemic and threatened non-target species during treatment	Implement conservation actions for non-target species at other locations

Risk/Impact	Measure/Action			
	Avoidance	Reduction	Mitigation	Compensation
Conversion of habitats due to expansion of commercial agriculture or forestry plantations	Include provisions in certification schemes that prohibit conversion of critical habitat	Include provisions in certification schemes that minimize conversion of natural habitat	Incentivize conservation and/or restoration of critical and natural habitats	N/A
Introduction of IAS	Avoid import of biological material (seeds, seedlings, saplings, etc.) from overseas	Implement biosecurity protocols on import and use of biological material	Monitor for IAS establishment; implement rapid response to eradicate	N/A
Overharvesting of living natural resources	Prohibit harvesting of certain species (e.g., species protected under national law, species with low reproductive rates)	Regulate seasons, areas, catch effort and/or gear; introduce quotas per household, community or cooperative	Improve habitat quality / area for harvested species	N/A
<b><i>Social Risks and Impacts</i></b>				
Hazards to project workers	Avoid scheduling project activities during hurricane season, especially ones involving boat travel or visits to remote sites	Use well maintained vehicles; limit boat travel to essential journeys only; avoid travel at night	Provide workers with personal protective equipment; provide field teams with safety, first aid and communication equipment; implement health and safety plan	Provide workers compensation insurance for all direct workers

Risk/Impact	Measure/Action			
	Avoidance	Reduction	Mitigation	Compensation
Hazards to local people	Avoid scheduling travel or in-person gatherings during hurricane season	Minimize number of local people participating in sub-project activities (e.g. surveys, patrolling, etc.)	Provide training in health and safety to local people; provide personal protective equipment; implement health and safety plan	N/A
Physical, psychological or sexual abuse of project workers	Conduct background checks for new CEPF Secretariat staff, in compliance with applicable local law	Provide workers with workplace environment training	Establish and promote grievance mechanisms, including CI's Ethics Hotline; maintain a list of GBV providers in each country and ensure that their services are available to project workers	N/A
Unfair treatment or discrimination of project workers	Provide project workers with copies of their employer's human resources policies	Provide managers with hiring / firing authority training in fair treatment / non-discrimination	Establish and promote grievance mechanisms, including CI's Ethics Hotline	N/A
Health impacts from unsafe storage or use of pesticides	Use alternatives to pesticides, such as physical removal / trapping; avoid most hazardous chemicals	Use pesticides as a component of integrated pest management	Implement protocols on safe storage and handling of pesticides; raise awareness among local communities; implement health and safety plan	N/A

Risk/Impact	Measure/Action			
	Avoidance	Reduction	Mitigation	Compensation
Security personnel engaging in unlawful or abusive acts against local people	Prohibit use of project funds to purchase weapons or support salaries of government security personnel through inclusion of such activities on the negative list; make reasonable inquiries to verify that individuals hired are not implicated in past abuses	Provide training for security personnel in the appropriate use of force, and appropriate conduct towards communities; implement codes of conduct	Establish and promote grievance mechanisms for local communities; maintain a list of GBV providers in each country and ensure that their services are available to stakeholders who may be the survivors of GBV perpetrated by security personnel	N/A
Transmission of COVID-19 or other communicable diseases	To the extent possible, organize virtual meetings and monitor remotely; comply with applicable (e.g. WHO) guidance and advisories when scheduling travel or in-person gatherings	Minimize number of visits / visitors to remote, rural communities; minimize number and size of in-person gatherings	Provide project workers and local people with personal protective equipment, hand sanitizer and disinfectant; implement health and safety plan	N/A
Involuntary resettlement of people, due to physical and/or economic displacement	Prohibit support to sub-projects that involve purchase of land or resettlement of people through inclusion of such activities on the negative list	N/A	N/A	N/A

Risk/Impact	Measure/Action			
	Avoidance	Reduction	Mitigation	Compensation
Restrictions on access to natural resources within a protected area or communally managed property	Use alternative area-based conservation measures, such as voluntary commitments	Minimize area / activities covered by restrictions; exempt community members in highly vulnerable groups	Assist displaced persons in their efforts to improve, or at least restore, their livelihoods and living standards, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation; establish and promote grievance mechanisms; implement other measures identified in the Process Framework	Develop measures (e.g., promote the implementation of climate-smart agriculture, alternative income activities in place of hunting, etc.) to assist affected persons in their efforts to improve their livelihoods or restore them, in real terms, to pre-displacement levels, while maintaining the sustainability of the park or protected area
Disturbance or damage to cultural heritage	Locate parking lots, campsites, trails and other visitor infrastructure away from areas with physical or intangible cultural heritage	N/A	Include Chance Find Procedures in all contracts relating to construction or civil works	N/A

Risk/Impact	Measure/Action			
	Avoidance	Reduction	Mitigation	Compensation
Risk of elite capture and/or social exclusion	Develop and implement robust Stakeholder Engagement Plans for the project and for each sub-project, which will ensure that stakeholders and vulnerable groups are adequately identified and consulted on project activities			

### 10.11 Monitoring and reporting

During sub-project preparation, each sub-grantee will be required to define the steps it will take to monitor and evaluate the effectiveness of the agreed measures. This will be described in the relevant environmental and social instrument(s) and budgeted for. For example, monitoring may involve socio-economic surveys with a sample of households in each affected community, at the start, mid-point and end of the project, in order to measure impacts (planned and unanticipated) on human wellbeing. During sub-project implementation, the sub-grantee will then implement the agreed monitoring steps and report on them to the CEPF Secretariat (or the RIT). For sub-projects with an overall risk rating of “low” or “moderate”, sub-grantees will be asked to report in a dedicated section of their semi-annual performance reports. For sub-projects with an overall risk rating of substantial, sub-grantees will be requested to submit stand-alone environmental and social monitoring reports, following a standard template. All grantees will be asked to complete a standard table, listing stakeholder consultations. Information from individual grantees will be collated by the RIT into a single table, which will be submitted to the World Bank every six months.



## 11. GRIEVANCE MECHANISM

### 11.1 Introduction

This section describes the grievance mechanism for receiving and facilitating the resolution of concerns and complaints of applicants, grantees, sub-grantees and external stakeholders that may arise from the implementation of CEPF funded projects.

### 11.2 Institutional arrangements

Applicants, sub-grantees and external stakeholders may raise a grievance at any time to the grantee, the RIT or the CEPF Secretariat. Contact information of the grantee, the RIT and the CEPF Secretariat will be made publicly available. Claims should be filed, and a copy of the grievance should be provided to the RIT who must in turn forward a copy to the CEPF Secretariat. If the claimant is not satisfied with the response, the grievance may be submitted to the CEPF Secretariat directly via the CI Ethics Hotline. The CEPF Secretariat 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 CEPF Secretariat, the grievance may be submitted to the World Bank at the World Bank GRS (see POM10.7).

### 11.3 Types of grievances to be addressed

#### **Internal grievances**

This will include applicants, sub-grantees and project workers. See the next two sections for more details on the grievance mechanisms for applicants, sub-grantees and project workers.

#### **External grievances**

Local communities and other interested stakeholders may raise a grievance at any time to the sub-grantee, the RIT or the CEPF Secretariat. Affected local communities should be informed about the Environmental and Social Management Framework (ESMF) provisions, including its grievance mechanism. Contact information of the applicant/grantee, the CEPF Secretariat and the World Bank should be made publicly available.

As a first stage, grievances should be made to the applicant or grantee, who should respond to grievances in writing within 15 calendar days of receipt. Claims should be filed, included in project monitoring, and a copy of the grievance should be provided to the RIT who must in turn forward a copy to the CEPF Secretariat.

If the claimant is not satisfied with the response, the grievance may be submitted to the CEPF Secretariat directly [via](#) the CI Ethics Hotline. The CEPF Secretariat 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 CEPF Secretariat, the grievance may be submitted to the World Bank at the local World Bank office.

### 11.4 Grievance mechanisms for sub-projects

The grievance redress mechanism that sub-grantees will be required to establish for external grievances is described in POM10.7. Sub-grantees will also be required to establish mechanisms to redress internal grievances from project workers. These should be described in the Labor Management Procedures for each sub-project.

## 11.5 Grievance mechanisms for applicants and grantees

### Applicants

CEPF provides a written explanation to all applicants whose proposals are unsuccessful as part of its focus on building civil society capacity. Applicants are encouraged to contact the RIT or CEPF grant director if they have additional questions about the decision. If the applicant is not satisfied with the response, a grievance may be submitted to the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously.

### Grantees

CEPF provides written feedback to all Grantees during the Period of Performance on the Project's implementation progress as part of its focus on building civil society capacity. Grantees are encouraged to contact the RIT or CEPF grant director if they have additional questions about CEPF decisions made about this grant. If the grantee is not satisfied with the response, a grievance may be submitted to the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously.

## 11.6 Ethics hotline

The following ethics standards apply to all persons and entities which receive, are responsible for the deposit or transfer of, or take or influence decisions regarding the use of grant funds received from CI (jointly referred to as 'Grant Fund Recipients').

Grant Funds Recipients include employees, agents, subcontractors and sub-recipients of the aforementioned persons and entities.

Ethics Standards Grant Funds Recipients are expected to observe the highest standards of professional and personal ethics in the implementation of projects funded by the CI. Any violations of the Code of Ethics should be reported to CI via its Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).

Grant Funds Recipients are required to implement, monitor and enforce compliance with a Code of Ethics that substantially reflects the following ethics standards:

### Integrity

- Act in good faith, responsibly, with due care, competence and diligence and maintain the highest professional standards at all times.
- Comply with CI policies as well as all applicable laws, rules and regulations, domestic and international, in every country where CI works.
- Reflect actual expenses or work performed in expense reports, timesheets, and other records.
- Never engage in any of the following acts: falsification of business documents, theft, embezzlement, diversion of funds, bribery, or fraud.

### Transparency

- Perform duties, exercise authority and use CI resources and assets in the interest of the organization and never for personal benefit.

- Avoid conflicts of interest and not allow independent judgment to be compromised.
- Not accept gifts or favors in excess of \$150 from vendors, consultants or grantees.

#### Accountability

- Disclose to a supervisor and the General Counsel's Office, at the earliest opportunity, any information they have or become aware of, that may result in a real or perceived conflict of interest or impropriety.
- Exercise responsible stewardship over CI's assets and resources; spend funds wisely, in the best interests of CI and in furtherance of its mission. Adhere to and respect the wishes of its donors.
- Manage programs, activities, staff and operations in a professionally sound manner, with knowledge and wisdom, and with a goal of increasing overall organizational performance.

#### Confidentiality

- Not disclose confidential information obtained during the course of their work at CI.
- Protect confidential relationships between CI and its grantees, donors, and vendors.

#### Mutual Respect and Collaboration

- Assist its partners in building the necessary capacity to carry out conservation programs efficiently and effectively and to manage funds in a fiscally and operationally prudent manner.
- Create constructive relationships with grant-seekers and other partners based on mutual respect and shared goals by communicating clearly and timely and respecting our partners' expertise in their field of knowledge.
- Engage with Indigenous peoples and local communities in which CI works in a positive and constructive manner that respects the culture, laws, and practices of those communities, with due regard for the right of free, prior and informed consent.

### 11.7 Receiving and recording grievances

The CEPF Secretariat will be responsible for receiving and recording all complaints and disputes received in the grievance register.

Grievances will be received by the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously.

Grievances will be then recorded in the grievance register that is kept by the CEPF Executive Director. Each grievance record will include the date it was received, the emitter, a description, the date of acknowledgement, description of the actions undertaken. The record will also include a hard copy of all the documents this grievance has incurred.

### 11.8 Publication/disclosure of grievance mechanisms

All sub-grantees must provide local communities and other relevant stakeholders with a means to raise a grievance with the grantee, the RIT, the CEPF Secretariat or the World Bank.

This grievance mechanism must include, at a minimum, the following elements:

- Email and telephone contact information for the grantee organization.

- Email and telephone contact information for the RIT.
- Email and telephone contact information for the local World Bank office.
- The [contact](https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html) information for the CI Ethics Hotline (telephone: +1-866-294-8674 / web portal <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>).
- A statement describing how stakeholders will be informed of the objectives of the project and the existence of the grievance mechanism (e.g., posters, signboards, public notices, public announcements, use of local languages).
- The following text should be included, exactly, in any grievance mechanism: “We will share all grievances – and a proposed response – with the RIT and the CEPF grant director within 15 days. If the claimant is not satisfied following the response, they may submit the grievance directly to the CEPF Executive Director via the CI Ethics Hotline. The CI Ethics Hotline consists of a toll-free telephone line (+1-866-294-8674) and a secure web portal (<https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>) that allows grievances to be made anonymously. If the claimant is not satisfied with the response from the CEPF Executive Director, they may submit the grievance to the World Bank at the local World Bank office.”

#### 11. 9 Information disclosure:

- The project and the sub-grantees will disclose project information to allow stakeholders to understand the risks and impacts of the project and subprojects, and potential opportunities. The Borrower will provide stakeholders with access to the following information, as early as possible and in a timeframe that enables meaningful consultations with stakeholders on project design:
- The purpose, nature and scale of the sub-project.
- The duration of proposed project activities.
- Potential risks and impacts of the project on local communities, and the proposals for mitigating these, highlighting potential risks and impacts that might disproportionately affect vulnerable and disadvantaged groups and describing the differentiated measures taken to avoid and minimize these.
- The proposed stakeholder engagement process highlighting the ways in which stakeholders can participate.
- The time and venue of any proposed public consultation meetings, and the process by which meetings will be notified, summarized, and reported.
- the process and means by which grievances can be raised and will be addressed

## 12. MONITORING AND EVALUATION

### 12.1 Introduction

This section describes data and information needs, roles and responsibilities, and processes for data generation, compilation, storage, analysis and validation, as related to the reporting on project results for the Results Framework. Parties involved in monitoring and evaluating results include the Project Implementation Unit (PIU), the Regional Implementation Team (RIT), the Collaborative Social Accountability Team (CSAT), and the Regional Advisory Committee (RAC).

### 12.2 Institutional arrangements

Monitoring and evaluation for the project is the responsibility of the PIU. The PIU will work in partnership with the RIT, hosted at CANARI, and in close collaboration with the CSAT, hosted at INTEC.

Within the PIU, the CEPF Monitoring, Evaluation and Outreach Team will lead on monitoring and reporting on impact at the project scale, by compiling results reported by CSO sub-grantees, and coordinating validation by methods and parties specified in the Results Framework. The CEPF Grants Team and the RIT will be responsible for ensuring timely submission of reporting tools and data by sub-grantees, with the Grants Team leading on large grants, and the RIT leading on small grants. The Grants Team and RIT are responsible for reviewing reports and tracking tools, to ensure that results reported are accurate and clear, and entered correctly into reporting templates. The Monitoring, Evaluation and Outreach Team will work closely with both the Grants Team and RIT to ensure that data are accurate and comprehensive, and to request follow-up with sub-grantees if clarifications or corrections are needed. CEPF will use its online grant management system, ConservationGrants, to track sub-grantee reporting and results. INTEC will contribute by monitoring the establishment and functionality of collaborative social accountability frameworks.

The Monitoring, Evaluation and Outreach Team will also lead in documentation of lessons learned and good practice, in partnership with the RIT and INTEC. Sub-grantees report on lessons learned in their final reports. Mid-term and final program learning exchanges will provide opportunities for sharing and dissemination of lessons and best practices with other sub-grantees and partners.

The RAC will conduct results validation for selected indicators.

### 12.3 Human Resources

The CEPF Monitoring, Evaluation and Outreach Team consists of three staff with expertise in monitoring and evaluation; both are in place. The CEPF Grants Team consists of six Grant Directors, one of whom will be responsible for the portfolio in the Caribbean islands. This person is also in place, and brings additional experience in sub-project-level monitoring and evaluation. The RIT and INTEC each will have a dedicated monitoring and evaluation staff person.

### 12.4 Data and Information Requirements

The PDO and intermediate indicators are defined, and their significance described, in the Results Framework, as are the targets, data sources, data collection methodologies, frequencies of collection and data sources.

Below, brief descriptions of the indicators and data sources, parties responsible for generating the data, methods, and parties responsible for assessment of data quality, are presented. Indicators for which the CEPF Secretariat and/or RIT have primary responsibility for data generation are:

- PDO Indicator 1: Targeted civil society organizations with increased capacity to reduce threats to biodiversity
- IR Indicator 1.4: Civil society organizations receiving sub-grants from CEPF
- IR Indicator 3.1: RIT technical capacity modules completed
- IR Indicator 4.1: Civil society organizations trained in using social accountability mechanisms
- IR Indicator 4.2: Collaborative social accountability frameworks established

Indicators for which sub-grantees have the primary responsibility for data generation are:

- PDO Indicator 2: Targeted civil society organizations with increased organizational capacity
- PDO Indicator 3: Civil society organizations with sufficient capacity to participate in conservation-related networks
- PDO Indicator 4: Priority KBAs with reduced threat(s) to biodiversity
- IR Indicator 1.1: Priority species conservation plans at the site level prepared
- IR Indicator 1.2: Area of production landscape with strengthened management
- IR Indicator 1.3: Funding mechanisms for conservation established by targeted civil society organizations
- IR Indicator 2.1: Grantee biodiversity monitoring frameworks prepared
- IR Indicator 2.2: Civil society networks with improved collaboration and coordination
- IR Indicator 4.3: Knowledge products focusing on social accountability mechanisms produced and disseminated

## 12.5 Assessment of Data Quality

The CEPF Secretariat will have primary responsibility for assessment of data quality, with support from the RIT and INTEC; additional validation duties are allocated to the RAC for certain indicators. Materials to be assessed include the Final Completion and Impact Report, products such as the biodiversity monitoring framework and species conservation plan, and specialized tracking tools, administered at the start and end of sub-grantee projects. These include the Civil Society Tracking Tool, the Network Capacity Scorecard, the Network Health Scorecard, the Gender Tracking Tool, the IBA Site Monitoring Tool, the Management Effectiveness Tracking Tool, and a RIT-specific Capacity Assessment Tool. Data quality will be assured by:

1. training provided to sub-grantees on reporting requirements (using simple and easy reporting formats);
2. technical support on monitoring and data collection provided to sub-grantees during project implementation (using simple and easy reporting formats);
3. routine review of sub-grantee's reports against a standard checklist;
4. review of baseline and final tracking tools and scorecards data; and
5. direct observation via site visits and/or photo/video documentation.

Results will be aggregated electronically into the ConservationGrants database and analyzed by the Monitoring, Evaluation and Outreach Team. The RAC will be responsible for validation of data for selected indicators, as per the project indicator reference sheet.

#### Project indicator reference sheet

Indicator	Indicator Description	Data Description	Data Source and Party Responsible for Data Generation	Method for Data Generation	Assessment of Data Quality
<b>PDO Indicator 1:</b> Targeted civil society organizations with increased capacity to reduce threats to biodiversity	This indicator measures the number of civil society organizations that have increased capacity to address and reduce threats and have demonstrated success in reducing a threat affecting biodiversity in the Caribbean.	To be counted, a civil society organization must demonstrate success in reducing a threat. Results will be disaggregated by threat.	Conservation plans and management prescriptions produced by sub-grantee  Direct observation by Secretariat/ RIT	Review of sub-grantee reports  Direct observation of reduced threats	Direct observation by Secretariat/ RIT  Validation of evidence by RAC
<b>PDO Indicator 2:</b> Targeted civil society organizations with increased organizational capacity	This indicator is measured by the Civil Society Tracking Tool (CSTT), which monitors change in a civil society organizations' capacity in terms of (i) human resources; (ii) financial resources; (iii) management systems; (iv) strategic planning; and (v) delivery.	To be counted, a civil society organization must have increased its score from baseline to final by at least five points.	Civil Society Tracking Tool (CSTT), completed by sub-grantee	Tracking tool completed by all sub-grantees at the start and end of their projects	Validation of CSTT score by Secretariat/ RIT
<b>PDO Indicator 3:</b> Civil society organizations with sufficient capacity to participate in conservation-related networks	This indicator measures the number of civil society organizations that have sufficient understanding of networks, and the expertise, competence, connections, willingness, time, attention, resources and commitment to participate in a network.	To be counted, an organization must receive a score of 30 in a two-part scorecard. Part 1 will address general aspects of networks. Part 2 will be specific to an individual organization's capacity to participate in a targeted network. Scorecard are completed at start and end of training sessions.	Network Capacity Scorecard, completed by sub-grantee	Network Capacity Scorecard completed by sub-grantee	Validation of Network Capacity Scorecard by RAC

<b>PDO Indicator 4:</b> Priority KBAs with reduced threat(s) to biodiversity	This indicator measures the number of KBAs with reduced threats, using BirdLife International's Important Bird Area site monitoring tool.	The Important Bird Area site monitoring tool provides a method for assessing pressure (threats), state (condition) and response (actions) at a site, and the scores then used to obtain overall status and trend scores.	Important Bird Area site monitoring tool completed by sub-grantee	Important Bird Area site monitoring tool completed for each priority KBA at the start and end of sub-grants.	Validation by direct observation by Secretariat/ RIT
<b>IR Indicator 1.1:</b> Priority species conservation plans at the site level prepared	This indicator measures the number of species conservation plans that are developed during the project. Species conservation plans will be developed following the Guidelines for Species Conservation Planning prepared by the IUCN Species Survival Commission's Species Conservation Planning Sub-Committee.	Number of species conservation plans prepared according to the specified IUCN guidelines.	Final Completion and Impact Reports and species conservation plans produced by sub-grantees	Completed species conservation plans counted	Plans validated by Secretariat/ RIT
<b>IR Indicator 1.2:</b> Area of production landscape with strengthened management of biodiversity	This indicator measures the number of hectares outside of protected areas, such as corridors and/or buffer zones, with strengthened management of biodiversity. A Production Landscape is defined as a site outside a protected area where commercial agriculture, forestry or natural product exploitation occurs.	For an area to be considered as having "strengthened management of biodiversity," it can benefit from a wide range of interventions such as best practices and guidelines implemented, incentive schemes introduced, sites/products certified, and sustainable harvesting regulations introduced.	Final Completion and Impact Reports produced by sub-grantee	Data from sub-grantee final reports aggregated in Conservation Grants database	Validation of data by photo/video documentation and/or direct observation by Secretariat/ RIT



<b>IR Indicator 1.3:</b> Funding mechanisms for conservation established by targeted civil society organizations	Funding mechanisms include, but are not limited to, conservation trust funds, debt-for-nature swaps, payment for ecosystem service (PES) schemes, and other revenue, fee or tax schemes that generate long-term funding for conservation.	To be counted, a funding mechanism must be supported with relevant documentation describing (i) purpose; (ii) legal parameters; (iii) sources of funds; (iv) mechanics of funds disbursement; and (v) governance.	Documents demonstrating legal establishment of mechanism made available by sub-grantee	Review of legal documents	Validation of data by Secretariat/ RIT
<b>IR Indicator 1.4:</b> Civil society organizations receiving sub-grants from CEPF	This indicator measures the number of civil society organizations that will receive one or more sub-grants from CEPF under Components 1 and 2. Results will be disaggregated by type of organization, according to CEPF's categories.	To be counted, a grant must be awarded under Components 1 and 2. These will include organizations receiving sub-grants from both the Secretariat, and from the RIT.	Conservation Grants database	Extraction of sub-grant data from Conservation Grants database	Validation of data by Secretariat/ RIT
<b>IR Indicator 2.1:</b> Grantee biodiversity monitoring frameworks prepared	Each CSO working at one or more priority KBA will be assisted to develop its own biodiversity monitoring framework, with indicators related to the status of biodiversity, the severity of threats, and the effectiveness of conservation responses.	To be counted, a biodiversity monitoring framework must (i) meet the minimum information requirements of the CEPF template; (ii) be developed with the participation of the site management authorities; and (iii) establish baselines for at least one indicator in each group.	Biodiversity monitoring frameworks produced by sub-grantee	Completed biodiversity monitoring frameworks counted	Frameworks validated by Secretariat/ RIT

<b>IR Indicator 2.2:</b> Civil society networks with improved collaboration and coordination	<p>This indicator measures the number of networks with improved collaboration and coordination, using the Network Health Scorecard.</p> <p>The scorecard assesses four characteristics of networks: purpose, performance, operations and capacity. A baseline scorecard will be collected, and the scorecard will be completed again, when the grantee has finished their project.</p>	<p>To be counted, a network must achieve a score of at least 66, and an increase in score of at least 22 points. Therefore, all networks with a baseline of less than 66 must achieve that score. If the baseline is higher than 44, then the network must increase by 22 above that score. Networks with a baseline above 66 must also increase their score by at least 22 points.</p>	Network Health Scorecard, completed by sub-grantee	Network Health Scorecards analyzed by Secretariat/ RIT	Data to be validated by the Secretariat/ RIT
<b>IR Indicator 3.1:</b> RIT technical capacity modules completed	<p>At project start a capacity assessment will be undertaken to identify capacity building needs related to implementation of the CEPF program. Due to the RIT already having high capacity, the capacity building assessment will identify 15 topics that will expand the RIT's knowledge and ability to function at a high level. Each topic will be assigned 1 point, with the total of all topics being 15.</p>	<p>A scorecard will be used to measure progress in achieving capacity building targets. The scorecard will be completed on an annual basis. The indicator will measure increase in score from the baseline (0) established in the first year of the project.</p>	RIT capacity scorecard completed annually by RIT	Review of scorecard	Score validation by Secretariat

<b>IR Indicator 4.1:</b> Civil society organizations trained in using social accountability mechanisms	This indicator measures the number of CSOs trained in using social accountability mechanisms. The mechanisms aim to: (1) to strengthen public sector institutions' capacity to respond to issues, problems and solutions over which they have primary responsibility and accountability, and (2) to strengthen civil society's capacity for co-producing (taking part in) the execution of such solutions and increasing their civic oversight.	RIT, CSAT and Secretariat reports documenting training events workshops; number of CSOs attending.	Reports documenting training events produced RIT, Secretariat and CSAT	Compilation of data from reports by Secretariat	Validation by Secretariat
<b>IR Indicator 4.2:</b> Collaborative social accountability frameworks established	This indicator measures the number of collaborative frameworks established during the project.	These frameworks will define the terms of cooperation across stakeholders, including (i) information sharing, (ii) actions to be jointly addressed, and (iii) joint capacity-building and technical assistance activities that will enable such actions to be effectively executed.	Secretariat, RIT and INTEC reports	Review of reports by Secretariat	Data to be validated by Secretariat
<b>IR Indicator 4.3:</b> Knowledge products focusing on social accountability mechanisms produced and disseminated	This indicator measures the number of knowledge products produced that pertain to use of social accountability methodologies generated under the project. Knowledge products should promote sustainability and replicability, and can vary in format, such as a manual, video, website, or webinar series.	To be counted, a knowledge product must be produced and disseminated.	Knowledge products produced by sub-grantee	Completed knowledge produced counted	Data to be compiled and validated by Secretariat

## 12.6 Reporting requirements and timelines

Monitoring will take place at the sub-grantee level and at the project level. Sub-grantees will report on project-specific targets and deliverables, via progress reports during their project, followed by reporting on overall project accomplishments at the end of the project, using the Final Completion and Impact Report template (Annex 17.17). At this time, sub-grantees will report on their progress toward project deliverables, their contribution to selected indicators as per the Results Framework and the ecosystem profile for the Caribbean, and their contribution to CEPF's 16 global indicators, which are used to report on the overall impact of the entire CEPF program. CANARI and INTEC will comply with the same reporting requirements as other sub-grantees.

All sub-grantee reports will be reviewed thoroughly by the CEPF Secretariat and/or RIT, to ensure accurate and valid reporting of achievements. Reports will be stored within CEPF's ConservationGrants database. All final reports are disclosed on CEPF's website. Site visits will be conducted by the CEPF Secretariat or RIT, where direct observation is required for validation.

Reporting tools and templates are listed in this section, while the templates themselves are contained in Annexes 17.12 to 17.20. The tracking tools include, but may not be limited to, the following:

*Progress Report.* Sub-grantees will report on project progress against deliverables every six months, using a standard template (Annex 17.15).

*Financial Report.* Sub-grantees will report on project finances every three months (or more frequently, if required), using a standard template (Annex 17.16).

*Final Completion and Impact Report.* Sub-grantees will report on project achievements and their contributions to the Results Framework, the ecosystem profile and CEPF's global indicators at the end of their project, using a standard template (Annex 17.17).

*Civil Society Tracking Tool (CSTT).* This scorecard measures change in a civil society organization's capacity in terms of: (i) human resources; (ii) financial resources; (iii) management systems; (iv) strategic planning; and (v) delivery (Annex 17.13). The tracking tool is designed to enable self-assessment by a small group of the organization's staff and/or board members, selected to represent the variation in roles and responsibilities that exists within the organization. The assessment may be facilitated by the RIT or other relevant party, who will ensure sufficient staff participate and that the assessment is realistic and accurate. The CSTT will be administered at the start and end of each sub-grant. All local sub-grantee organizations will be required to complete the CSTT.

*Gender Tracking Tool (GTT).* This scorecard measures change in a civil society organization's understanding of and commitment to gender issues (Annex 17.12). This scorecard consists of seven questions and is completed at the start and end of each sub-grant. All sub-grantees will be required to complete the GTT.

*Important Bird Area (IBA) site monitoring tool.* This monitoring tool will be applied to each of the 43 KBAs targeted by sub-projects. The monitoring tool assesses the threats to the KBA, the condition of the KBA and responses in place to address the threats. Selected sub-grantees will be responsible for completing the IBA site monitoring tool; data will be validated by the Secretariat and the RIT. The standard template is presented in Annex 17.18. Full guidance can be found at:

[http://datazone.birdlife.org/userfiles/file/IBAs/MonitoringPDFs/IBA\\_Monitoring\\_Framework.pdf](http://datazone.birdlife.org/userfiles/file/IBAs/MonitoringPDFs/IBA_Monitoring_Framework.pdf)

*Management Effectiveness Tracking Tool (METT).* The METT is a site-level tracking tool used to report on management effectiveness of protected areas (Annex 17.14). The scoring system used in the METT is useful for protected area managers to track progress over time at individual sites. It can also be used to identify trends and patterns in management of protected areas across a number of sites. Sub-grantees that aim to strengthen protected areas will be required to work with the relevant protected area managers to secure baseline and final METTs over the life of their sub-grant.

*Network Capacity Scorecard.* This scorecard will be administered to all sub-grantees seeking to participate in a network (Annex 17.19). These sub-grantees will receive targeted trainings to address the general and the specific aspects of participation in a network. A two-part scorecard will be used to measure progress in completing training modules, and in completing customized training sessions addressing the specific aspects of participating in targeted networks. Part 1 will address general aspects of networks. Part 2 will be specific to an individual organization. Training sessions will be delivered by the Secretariat, RIT or third party as appropriate. The Network Capacity Scorecard contains 10 questions, each valued at 0 to 3 points. In order to reach the capacity status of “fully sufficient”, an organization must receive 3 points for each question to have a total score of 30 points. Selected sub-grantees are required to complete the Network Capacity Scorecard.

*Network Health Scorecard.* This scorecard will be used to the improved collaboration and coordination of a network (Annex 17.20). To be completed by a sub-grantee participating in a network, the scorecard assesses four characteristics of networks: purpose, performance, operations and capacity. A baseline scorecard will be collected, and the scorecard will be completed again when the sub-grantee has finished their project. The scorecard contains 22 statements, each of which has a numeric rating ranging from 1 to 5, with five being the most positive response. The worst possible score is 22 (a rating of 1 for all 22 statements) and the best possible score is 110 (a rating of 5 for all 22 statements). To be counted, a network must achieve a score of at least 66, and an increase in score of at least 22 points. Therefore, all networks with a baseline of less than 66 must achieve that score. If the baseline is higher than 44, then the network must increase by 22 above that score. Networks with a baseline above 66 must also increase their score by at least 22 points. Full guidance is available at: <http://www.networkimpact.org/net-health-a-scorecard-for-assessing-how-your-network-is-doing/>

*RIT Capacity Scorecard.* At project start, a capacity assessment will be undertaken to identify capacity building needs of the RIT related to implementation of the CEPF program. Due to the RIT already having high capacity, the capacity building assessment will identify 15 topics that will expand the RIT’s knowledge and ability to function at a high level. The scorecard will be completed annually by the RIT.

CEPF will report to the World Bank on project progress on an annual basis; this report will include reporting on progress towards achievement of the Results Framework targets.

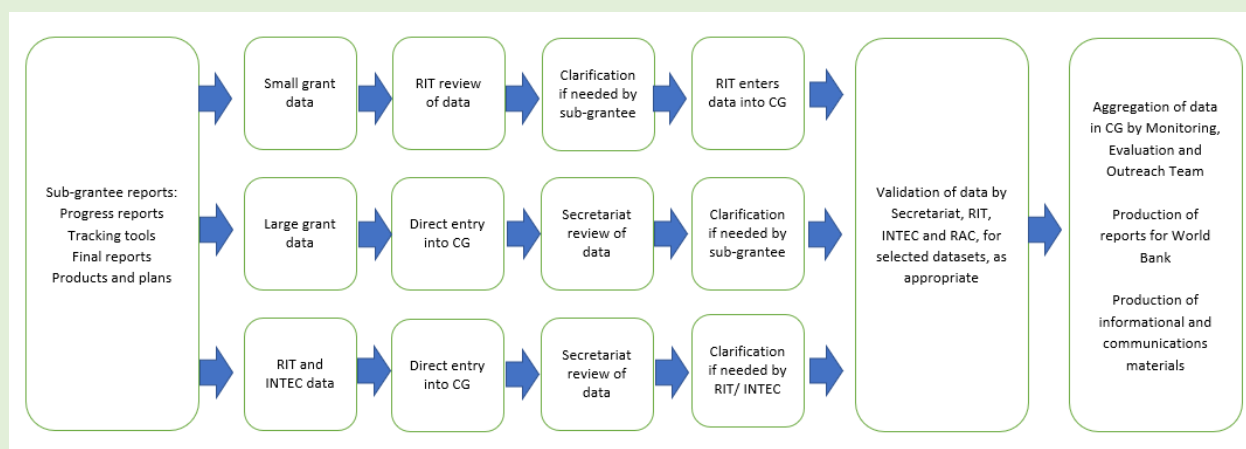
Report type	Frequency
Progress Report	Every 6 months
Financial Report	Every 3 months
Final Completion and Impact Report	60 days after end of sub-grant
Civil Society Tracking Tool	At start and end of sub-grant (for local organizations)
Gender Tracking Tool	At start and end of sub-grant
IBA site monitoring tool	At start and end of sub-grant (for selected sub-grantees)
Management Effectiveness Tracking Tool	At start and end of sub-grant (for selected sub-grantees)
Network Capacity Scorecard	Before and after training (for selected sub-grantees)
Network Health Scorecard	At start and end of sub-grant (for selected sub-grantees)
RIT Capacity Scorecard	Annually (for the RIT)

## 12.7 Data Management

All data produced by sub-grantees will be stored in CEPF's electronic grant management system, ConservationGrants. For large grants, applicants apply for funds online, and sub-grantees report on project progress and results online and submit required tracking tools online. This allows for data aggregation and storage within the system. For small sub-grants, where civil society organizations may not have adequate internet access to work in an online environment, applications and documentation during project implementation are completed offline. The RIT will be responsible for entering all documentation into ConservationGrants. In this process, data from all sub-grants are stored within ConservationGrants, and are available for analysis of the portfolio as a whole.

Sub-grantees adhere to a strict schedule for report and tracking tool delivery, with automated reminders sent out at appropriate times. The system allows for automated review of reporting tools that are scheduled, due, and overdue, which are used by the Secretariat and RIT to monitor sub-grantee compliance with reporting requirements. Further, the system enables CEPF to maintain a constant understanding of progress towards achievement of project targets, where the gaps are, and which areas should receive increased focus. The result is effective data management, and efficient production of results, allowing for ease of dissemination of impact data and lessons learned from the field.

### Data flow diagram



## 12.8 Field Visits

CEPF will undertake visits to the region to monitor sub-grantees, as appropriate during the COVID-19 pandemic, and regularly when possible. These will be in-person when feasible and by other means if not. At minimum, the following visits will take place:

- Two supervision missions per year to review RIT and CSAT performance, and conduct site visits to sub-grantees (conducted by the Grants Team).
- Two missions per year to oversee RIT monitoring efforts, deliver trainings, and conduct site visits to sub-grantees (conducted by the Monitoring, Evaluation and Outreach Team).
- Two visits to attend participatory learning exchanges, scheduled at mid-term and end of the project. These assessments will be attended by sub-grantees, and will function as learning exchanges and networking opportunities, as well as a forum to discuss project status, progress, challenges and obstacles (Grants Team and MEOT attending).

All sub-grantees will receive at least one site visit, and preferably two, from either the Secretariat or the RIT, during their project. Site visits will be timed to allow for validation of project achievements.

All priority KBAs with sub-project activities will be assessed using the IBA site monitoring tool, which requires an in-person presence. Assessments will be conducted by sub-grantees; visits to each KBA will also be conducted by the RIT to verify results.

## 12.9 Information Products and Dissemination

During the project, numerous documents will be produced that will be of interest to stakeholders in the hotspot. CEPF intends to make these documents available via the CEPF and RIT websites, and to publicize and disseminate, as appropriate. These include:

- Sub-grantee Final Completion and Impact Reports
- Species conservation plans
- Biodiversity monitoring frameworks
- KBA site assessment reports
- Social accountability frameworks
- Knowledge products focusing on social accountability mechanisms
- Reports on lessons learned and best practices.

## 12.10 Capacity Needs

At project start, the RIT will undertake an assessment of the institutional landscape and capacity development needs in each target country, and then will develop and deliver a comprehensive capacity development program during the lifetime of the project. Capacity development around monitoring and evaluation is expected to be a standard topic in trainings for sub-grantees.

In delivering these training activities, the CEPF Secretariat and RIT will undertake innovative training methods that emphasize experiential learning, sharing of lessons to engender replication of successes and understanding of failures, and dedicated sessions to build essential skills. Technical assistance will focus on strengthening the administrative, financial, fundraising and project management capacity of strategic CSO partners to implement conservation activities. Skills and lessons will be transferred through

a range of mechanisms, which may include, grantee learning exchanges, networking, mentorship, workshops, seminars, webinars, hands-on activities in the field and coalition building among CSOs.

In addition, the RIT will organize participatory learning exchanges at project mid-point and end, to facilitate exchange of experience practice among sub-grantees that implement or have implemented projects in similar thematic areas, and to document and disseminate good practice.

#### 12.11 Use of Data

The project will generate a wealth of data that will be used for a range of purposes. At the project level, CEPF will use these data to assess progress towards targets, identify gaps, obstacles and challenges, and to emphasize, de-emphasize or change activities to ensure successful completion of the project.

At the national and regional level, data about civil society capacity and network health can inform where future efforts should be prioritized, and where successful models exist that can be promoted for replication.

Data pertaining to biodiversity, such as biodiversity monitoring frameworks and species conservation plans, can serve to inform governments and other stakeholders of successes and challenges, and assist to prioritize current and future efforts to conserve globally important species and sites.

Overall, CEPF's data will bring attention to a threatened part of the world and highlight civil society's efforts and successes to conserve Caribbean biodiversity.



## 13. INFORMATION MANAGEMENT SYSTEMS

### 13.1 Grant Management System

CI uses a customized web-based system for its grants management, named Conservation Grants, built on the Salesforce platform. The system is used by CEPF staff to manage portfolios of grants. The system enables CEPF to track the full lifecycle of a grant including all letters of inquiry and rejections, proposal review, project implementation and progress tracking, and project closeout. In addition to storing data and documents, the system has built-in validations to ensure the appropriate review thresholds are applied and sends alerts and reminders to users when action is required.

### 13.2 Financial Management System

CI uses Unit4 Business World as its accounting and human resources software for both its headquarters and field offices. Unit4 Business World's financial management package is an industry leading integrated set of financial management and accounting applications. CI field offices maintain their financial records in Unit4 Business, submitting files monthly for review and consolidation, and allowing users with the appropriate authorities to access financial information globally. CI's Chart of Accounts includes the ability to segregate projects by funding source, cost center, activity, subactivity, and contract number. CI has established a coding structure within its general ledger to track CEPF funds. CI's budgeting system, named Clarity, is also linked to Unit4 Business.

### 13.3 Website

CEPF publishes a website, [www.ceph.net](http://www.ceph.net), to share information and provide transparency about the CEPF program with grantees, potential grantees, governments, donors, potential donors, other partners and the general public. The site features:

- Information about biodiversity and the world's biodiversity hotspots.
- Calls for proposals and information on how to apply for and manage CEPF grants.
- A searchable database of grants CEPF has made that includes final reports and environmental and social instruments.
- Global results data.
- A learning section where conservation practitioners can find models and lessons.
- Articles about CEPF projects.
- Documents such as CEPF evaluations, annual reports and impact reports.

### 13.4 Public disclosure

Items which require public disclosure shall be disclosed via the CI and/or CEPF website, as well as the World Bank's appropriate website, as described in the financing agreement for the project.

## 14. PROCUREMENT

The World Bank's procurement rules will be followed for all direct purchases of goods and services by CI as well as those under the sub-grants to CANARI and INTEC. The procurement rules that will be followed for all other sub-grants awarded under the project will be those of CI (POM15.13).

### 14.1 Procurement guidelines

All goods and consulting services required for the project and to be financed, fully or partially, out of World Bank funding will be procured in accordance with the requirements set forth or referred to in the "Procurement Regulations for Investment Project Financing (IPF) Borrowers: November 2020". This requirement does not apply to services provided by CI, CANARI and INTEC employees, or to goods and services purchased by sub-grantees.

### 14.2 Procurement plans

The procurement plans for the project are included in the Project Procurement Strategies for Development (PPSDs) submitted to the Bank by CI, CANARI and INTEC. Each procurement plan sets out the different procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, prior review requirements, and timeframe for each purchase of goods or consulting services under the project. Recurrent expenditure on consumable items (office paper, printer toner, fuel, etc.) that are considered operating expenditures, does not need to be included. The procurement plans will be updated annually, or as required to reflect actual project implementation needs.

### 14.3 Methods of procurement

The procurement plans will indicate whether the particular method of procurement is individual (IC) or, Firm (F) or, Shopping(S), or Direct Selection (DS). If Direct Selection method is used, a separate note to justify the single source will be provided. Statement of Expenses (SOE) applies when procurement method is not applicable as expenses will be accepted as part of report reviews.

### 14.4 World Bank Prior Review

Consultant hiring (individual > \$300,000 and firms > \$5,000,000) will be subject to prior review and in accordance with the IBRD guidelines. The procurement plans will set forth those contracts that are subject to the World Bank's Prior Review. All other contracts shall be subject to Post Review by the World Bank. In addition to the prior review to be carried out by the World Bank qualified PS or PAS, a post review supervision mission will also be conducted.

### 14.5 Procurement of works

There will be no procurement of Works.

### 14.6 Procurement of goods

Goods procured may include items of computing and office equipment.

### 14.7 Procurement of non-consulting services

Non-consulting services may include translations, printing and other vendor services.

## 14.8 Selection of consultants

Consultants may be selected for limited-scope technical services or financial services (e.g. audit) using single source selection or through a competitive process. This requirement does not apply to technical services provided by employees of CI, CANARI and INTEC.

## 14.9 Procurement thresholds

Beside items categorized as operating expenditure, all other purchasing by CI, CANARI and INTEC will be categorized as procurement. The thresholds for each of the procurement categories are found below. The Request for Quotations (RfQ) method allows for submission of quotations from at least 3 vendors. A simplified contract is requested unless the value is very small (\$2,000), in which cases a purchasing order and the invoice will suffice.

Expenditure Category		Contract Value (US\$)	Procurement Method	Bank Prior Review Low risk
Civil Works		>= 3,000,000	RFB/ International	All >/=US\$20 million contracts
		< 3,000,000	RfB/ National	All >/=US\$20 million contracts
		<200,000	RfQ/ National	No
		NA	DC	All >/=US\$20 million contracts
Goods		>= 1,000,000	RfB/International	All >/=US\$ 6 million contracts
		<1,000,000	RfB/National	All >/=US\$6 million contracts
		<100,000	RfQ/ National	No
		NA	DC	All
Consultant Services		NA	QCBS, QBS, FBS, LCS and CQS*	>/= US\$ 5 million; >/=US\$500,000 for IC
		NA	SSS	
		NA	IC	
Notes:	RFB– Request for Bids RfQ – Request for Quotations DC – Direct Contracting QCBS – Quality and Cost Based Selection QBS – Quality Based Selection FBS – Fixed Budget Selection LCS – Least Cost Selection *CQS – Selection Based on Consultants’ Qualification below \$300,000 depending on the nature of assignment SSS – Single (or Sole) Source Selection IC – Individual Consultant selection procedure NA – Not Applicable			

## 14.10 Direct selection

Proportional, fit-for-purpose, and Value for Money (VfM) considerations may require a direct selection approach: that is, approaching and negotiating with only one firm. This selection method may be appropriate when there is only one suitable firm or there is justification to use a preferred firm.

Direct selection may be appropriate under the following circumstances:

- a. an existing contract, including a contract not originally financed by the Bank, for Goods, Works, or Non-consulting Services, awarded in accordance with procedures acceptable to the Bank, may be extended for additional Goods, Works, or Non-consulting Services of a similar nature, if:
  - i. it is properly justified;
  - ii. no advantage could be obtained through competition; and
  - iii. the prices on the extended contract are reasonable;
- b. there is a justifiable requirement to re-engage a firm that has previously completed a contract, within the last 12 months, with the Borrower to perform a similar type of contract. The justification shall show that:
  - i. the firm performed satisfactorily in the previous contract;
  - ii. no advantage may be obtained by competition; and
  - iii. the prices for the direct contracting are reasonable;
- c. the procurement is of both very low value and low risk, as agreed in the Procurement Plan;
- d. the case is exceptional, for example, in response to Emergency Situations;
- e. standardization of Goods that need to be compatible with existing Goods may justify additional purchases from the original firm, if the advantages and disadvantages of another brand or source of equipment have been considered on grounds acceptable to the Bank;
- f. the required equipment is proprietary and obtainable from only one source;
- g. the procurement of certain Goods from a particular firm is essential to achieve the required performance or functional guarantee of an equipment, Plant, or facility;
- h. the Goods, Works, or Non-consulting Services provided in the Borrower's country by an SOE, university, research center or institution of the Borrower's country are of a unique and exceptional nature in accordance with Paragraph 3.23 c.; or
- i. direct selection of UN Agencies in accordance with Paragraphs 6.47 and 6.48.

In all instances of direct selection, the Borrower shall ensure that:

- a. the prices are reasonable and consistent with the market rates for items of a similar nature; and the required Goods, Works, or Non-consulting Services are not split into smaller-sized procurement to avoid competitive processes.

#### 14.11 Procurement procedures

The following table outlines Procedures to follow for QCBS and LCS.

The table below lists the steps to be followed for all each selection the methods for hiring of consultants

Step	Activity	Responsible Unit/person	Time Allotted
1	Prepare the Terms of Reference (TOR) aligned with project and budget needs.	PIU	15 days
2	Obtain Bank's no-objection to all TORs.	PIU	10 days

Step	Activity	Responsible Unit/person	Time Allotted
3	Advertise in local newspapers (Gazette) and other newspapers of wide coverage. If international market approach is used, ensure that advertisement is done in any regional newspapers, UN Development Business online (UNDB online) via STEP, official websites - to obtain expressions of Interest and information on the consultant's experience and competence relevant to the assignment.	PIU	14 days NB: Time may be extended if there are no responsive EOIs
4	Convene meeting of evaluation committee to evaluate EOIs, prepare shortlist	PIU	5 days
5	Evaluate EOIs and Prepare shortlist (select firms 5-8 firms with the most appropriate qualifications and references). Prepare Evaluation Report.	PIU	15 days
6	Review evaluation forms and collate evaluation report	PIU	5 days
7	Prepare Request for Proposal (RFP), including sample draft contract.	PIU	5 days
8	Issue RFP to shortlisted firms requesting technical and financial proposals to be submitted in two envelopes in one outer envelope	PIU	30 days
9	Document any question for clarifications and their respective answers and respond to all consulting firms without identifying the name(s) of the consulting firms requesting clarification.	PIU	7 days
10	Proposals are opened in presence of the Evaluation Committee immediately after deadline for proposal submission.  Opening of technical proposals and Appointment of Evaluation Committee. The merits of proposals should not be discussed, neither should proposals be rejected (only late proposals are rejected).	PIU	1 day
11	Deposit the financial proposals with an independent authority for safekeeping until they are opened publicly.	PIU	1 day
12	Undertake the evaluation of Technical Proposals	PIU	15 days
13	Notify successful firms that they have secured the minimum qualifying mark and advise them on date, time and address for public opening of the financial proposals.	PIU	1 day

Step	Activity	Responsible Unit/person	Time Allotted
14	Open financial envelopes of qualified firms prepare record of opening (representatives of the successful consulting firms who choose to attend may attend the public opening). Announce the names of successful consulting firm and the read aloud the proposed prices	PIU	1 day
15	Submit Minutes and opening of record to Consultants immediately after the opening and send a copy to the World Bank.	PIU	1 day
16	Evaluate financial proposal and combine scores of technical and financial proposals	PIU	5 days
17	Combined evaluation report with proposal for contract award should be sent to the Bank for No Objection in the contract subject to prior review.	PIU	3 days
18	Negotiate with preferred consultant. For LCS, select firm with lowest evaluated price. For QCBS, select firm with highest technical and financial score (highest ranked firm). (For QCBS negotiate with the Consultant ONLY TECHNICAL ASPECTS)	Negotiating Team Appointed by PIU	5 days
19	Incorporate results of negotiations into draft contract (Terms of Reference) – DO NOT MAKE ANY CHANGES TO THE STANDARD FORM OF CONTRACT. Negotiated contract is initialed and minutes signed	PIU	3 days
20	Arrange for signing of negotiated contract. All contracts must be signed within the validity period of the proposals. If needed, an extension of proposals must be sought from the Firm; should the contract be subject to procurement prior review a no –objection from the Bank is required	PIU	2 days
21	Where the activity is subject to procurement prior review procedures, the PIU shall seek a no-objection for the first request to Bidders/Proposers/Consultants to extend the Bid/Proposal validity period, if it is longer than four (4) weeks, and for all subsequent requests.	PIU	2 days
22	Publish information about the contract award. Send the same information to all consultants who have submitted proposals.	PIU	3 days
23	After contract signing, return the unopened Financial Proposals to successful consultants	PIU	5 days
24	Record Signed contract in STEP	PIU	1 day

Step	Activity	Responsible Unit/person	Time Allotted
25	Issue formal instructions to commence assignment (notice of effectiveness, commencement order)	PIU	As stipulated in the Contract
26	Receive the invoice for advance payment supported by the Advance Payment bank guarantee (if so specified in the Contract) by the contracted consultant / contractor / vendor and pay the amount promptly to enable the assignment to begin.	PIU	As stipulated in the Contract
27	Monitor/evaluate progress (ensure deliverables are submitted) as per the reporting obligations within the Contract, notify the parties	PIU	Ongoing
28	Report on performance	PIU	Ongoing
29	Submit certified invoices, deliverables and Requisition Order for payment.	PIU	Ongoing
30	Review and Mark Off Invoice (certified correct) and Requisition Order (completing all sections – authority for approval, prior / post review, dates etc.). Approve for Payment; attach evidence of No Objection (where required, Acceptance certificates, delivery notes) to the completed Requisition Order Approve for Payment and attach No Objection to the completed Requisition Order	PIU	3 days
31	Confirm available funds to process payment(s)	PIU	1 day
32	If funds are available: prepare Payment Voucher and request approval from authorized person; If Funds are not available: File Unpaid Invoices / process via Direct Payment	PIU	5 days
33	Process payment. Write, check Telegraphic transfer/ Prepare Withdrawal Application for Direct Payment	PIU	5 days

The table below outlines Procedures to follow for CQS

Step	Activity	Responsible Unit, staff
1	Prepare Terms of Reference (TOR)	PIU
2	Obtain Bank's no-objection to TOR and REOI	PIU
3	Advertise on the website, in local newspapers and other newspapers of wide coverage (if necessary).	PIU

Step	Activity	Responsible Unit, staff
4	Obtain Expressions of Interest and information on the consultant's experience and competence relevant to the assignment.	PIU
5	obtain approval from the respective authority to recommended evaluation committee.	PIU
6	Convene meeting of evaluation committee to evaluate EOIs, prepare shortlist and select consultant.	PIU
7	Evaluate the EOI's and prepare a list of all eligible, fully qualified (with no conflict of interest) firms who have expressed interest. Selection: assess and compare the qualifications and experience of the list of eligible and qualified consultants and select the best qualified consulting firm. Prepare the evaluation report and send it for World Bank for clearance if the contract is subject to procurement prior review.	PIU
8	Seek approval to the selected report on the selected consultant from the authorized body/person	PIU
9	Prepare the Letter of Invitation including the TOR and ask the selected consultant to submit a combined technical-financial proposal. The invitation should be prepared taking into account Appendix 1 of the RFP and the consultant should be requested to submit a detailed breakdown of cost per activity/ deliverable and present a statement that the rate used are compatible with the firm's latest payroll statements.	PIU
10	Receipt and opening of combined Technical and Financial Proposal.	PIU
11	Evaluate the combined technical financial proposal and the statements (Identify strengths, weaknesses and areas for negotiations).	PIU
12	Negotiate the contract with selected consulting firm – Sign Minutes and initial negotiated contract (Both technical and financial may be negotiated).	PIU
13	Obtain approval to contract award (submit negotiated contract, minutes and report on evaluation).	PIU
14	Obtain N.O. to draft, negotiated initialed contract from the World Bank if defined in the procurement plan as an activity subject to Bank's prior review.	PIU
15	Arrange for signing of the agreed contract.	PIU
16	Record Signed contract in STEP	PIU



Step	Activity	Responsible Unit, staff
17	Issue formal instructions to commence assignment (notice of effectiveness, commencement order)	PIU
18	Publish award. The published award of contract notice must be done as described in Paragraphs 5.93 to 5.95. of the World Bank Procurement Regulations.	PIU
19	Monitor/evaluate progress	PIU
20	Prepare report on performance	PIU
21	Submit certified invoices, deliverables and Requisition Order (as applicable)	PIU
22	Review and Mark Off Invoice (certified correct) and Requisition Order (completing all sections – authority for approval, prior / post review, dates etc).  Attach evidence of No Objection (where required, Acceptance certificates, delivery notes) to the completed Requisition Order	PIU
23	Approve for Payment.	PIU
24	If funds are available: prepare Payment Voucher and request approval from authorized person; If Funds are not available: File Unpaid Invoices / process via Direct Payment	PIU
25	Process payment. Write, check Telegraphic transfer/ Prepare Withdrawal Application for Direct Payment	PIU

The table below lists the steps to be followed for all each selection the methods for hiring of consultants

Document / Step	Selection Method					
	QCBS	LCS	QBS	FBS	CQS	DC
Prepare TOR						
Prepare Cost Estimate						
Advertise for EOI (2 weeks/ 14 days)						X
Prepare Shortlist of top 5 - 8 firms					Best firm selected	X
Prepare and Issue RFP to 5 - 8 firms (4 weeks)					Issued to only one best firm selected	Issued to SS
Technical evaluation and rejection below pass mark					X	X

Document / Step	Selection Method					
	QCBS	LCS	QBS	FBS	CQS	DC
Commercial Evaluation and combined scores		L1 of tech Qualified selected	Only for T1 rest returned	Highest ranking technical proposal within the budget.	X	X
Cost & Units Negotiated for Award	X	X		X		

Note: All Contracts to be procured using Direct Selection are stated in the PPSD and agreed upon in the PP.

### Works, Goods and Non-Consulting Services

Requests for Bid (RFB) and Request for Quotation (RFQ) are for Goods, Works and Non-Consulting Services.

The table below lists procedures to follow for RFB and RFQ-Goods, Works, and Non-Consulting Services.

Step	Activity	Unit responsible	Time allotted
1	Prepare list of requirements, technical specifications, Drawings etc.), Bill of Quantities, design, etc., for the PIU.	PIU	15 days
2	Verify the request against the Procurement Plan if proposed procurement activities not in the PP; seek no-objection from the World Bank prior to starting procurement.	PIU	2 days
3	If activity is in the PP or if no –objection <sup>[1]</sup> has been provided by the World Bank, prepare bidding documents (BD) / Request for Quotations.	PIU	5 days
4	The RFB, that is the invitation to Bid, is created using STEP. The system gives the option of publishing externally. All activities subject to open procedures must be advertised. Where the market approach is national then the RFB is published at the national level in the websites of the PIU, RIT and/or CSAT. For international advertising this is done directly through the STEP portal.	PIU	14 days
5	Issue bidding documents	PIU	1 day
6	Bids are delivered in person or electronically. For simple quotations where Shopping is used – 10 days is given to prepare and submit For complex procurements, a minimum of 4-6 weeks is allowed	PIU	As stated in the BD

Step	Activity	Unit responsible	Time allotted
7	Open bids on set date and time as stated in bidding documents, in the presence of all bidders.	PIU	
8	Organize the meeting of the evaluation committee for evaluation of bids to determine responsiveness For Request for Quotation: Evaluate quotations and prepare an evaluation report.	PIU	10 days
9	Bids that are substantially responsive are evaluated in detail.	PIU	15 days
10	Collate Evaluation Report and ensure forms are signed (evaluation procedure below) and recommendations for contract award.	PIU	3 days
11	For Prior Review Contracts, obtain No- objection <sup>21</sup> from the World Bank for award of contract via STEP.	PIU	10 days
12	Notify bidder of the award and request performance security (if required) by the stipulated date defined in the BDS and other guarantees including insurances.	PIU	2 days
13	Arrange for signing of Contract Document or issue Purchase Order.	PIU	1 day
14	Publication of Award	PIU	As stated in Regulations
15	Notify the unsuccessful bidders of the contract award and return bid securities to them, as promptly as possible and right after contract is signed with selected bidder and furnishing of the performance security.	PIU	As stated in Regulations
16	Record Signed contract in STEP	PIU	3 days
17	Monitor/evaluate progress (report to management committee)	PIU	
18	Prepare report on performance	PIU	
19	Submit certified invoices, delivery notes / claims and Requisition Order (as applicable) to the PIU	PIU	
20	Number Requisition Order and Record in database	PIU	Same day of receipt
21	Review and Mark Off Invoice (certified correct) and Requisition Order (completing all sections – authority for approval, prior / post review, dates etc.). attach evidence of No Objection (where required, Acceptance certificates, delivery notes) to the completed Requisition Order	PIU	
22	Approve for Payment;	PIU	

Step	Activity	Unit responsible	Time allotted
23	If funds are available: prepare Payment Voucher and request approval from authorized person; If Funds are not available: File Unpaid Invoices / process via Direct Payment	PIU	
24	Process payment. Write, check Telegraphic transfer/ Prepare Withdrawal Application for Direct Payment	PIU	
25	Review and Mark Off Invoice (certified correct) and Requisition Order (completing all sections – authority for approval, prior / post review, dates etc.). attach evidence of No Objection (where required, Acceptance certificates, delivery notes) to the completed Requisition Order	PIU	
26	Approve for Payment;	PIU	
27	If funds are available: prepare Payment Voucher and request approval from authorized person; If Funds are not available: File Unpaid Invoices / process via Direct Payment	PIU	
28	Process payment. Write, check Telegraphic transfer/ Prepare Withdrawal Application for Direct Payment	PIU	

<sup>[1]</sup> No objection would only apply if the procurement activity was defined as subject to procurement prior review within the procurement plan agreed with the Bank.

<sup>[2]</sup> No objection would only apply if the procurement activity was defined as subject to procurement prior review within the procurement plan agreed with the Bank.

### Important aspects of using Request for Quotations

- a. RFQ for goods shall indicate the items to be supplied with quantities to be supplied, specifications / drawings for the items and the required delivery period, warranty required, the method of evaluation, the date and time by which the quotations should be submitted;
- b. Rates quoted should be fixed for the duration of the contract and shall not be subject to adjustment on any account;
- c. Each bidder shall submit only one quotation;
- d. Quotations shall remain valid for a period not less than 15 days after the deadline date specified for submission of quotations;
- e. All duties, taxes and other levies payable on the raw materials and components shall be included in the total price;
- f. Sales tax/other applicable taxes (VAT) in connection with the sale shall be shown separately;
- g. The PPSD developed for project will be used to guide the packaging of items to be procured by lot/ package / per item and will be used to develop the evaluation criteria. The evaluation criteria should be clearly stated in the RFQ and be consistent with the principles of efficiency and scope agreed to in the PPSD.
- h. A reasonable period of say 10 to 15 business days is usually provided for the suppliers to submit the quotations;

- i. Quotations should be obtained through advertisement or, when limited competition is justified, through a request for quotations (RFQ) to a limited number of firms. To ensure competition, the Borrower should request quotations normally from not fewer than three (3) firms.
- j. Public opening of quotations is not required.
- k. Evaluation of quotations must be carried as per criteria in invitation to quote and contract award is made to the lowest-priced responsive Bidder;
- l. Issue of Contract or purchase order to the selected Supplier. The Contract as appropriate, must include: Description, specification / drawing and quantity along with price; Delivery period; Terms of delivery consistent with UNCITRAL (INCO) Terms Payment terms, fraud and corruption and Inspection and Audits clauses.

## 15. FINANCIAL MANAGEMENT AND DISBURSEMENT ARRANGEMENTS

### 15.1 Introduction

Conservation International (CI) oversees internal control and financial management of CEPF in accordance with CI's financial policies and procedures. The Finance Department at CI's headquarters manages CI's global financial operations. The Finance Department oversees the budget, daily accounting activities, government compliance, and field office accounting. Each CI division has one or more financial staff that works closely with the headquarters office Finance Department.

### 15.2 Financial management structure of the project

The Senior Director of Finance for the Critical Ecosystem Partnership Fund oversees the team responsible for the financial and information management function for the division, which includes financial planning and modeling, preparation of financial statements and other donor reports, managing any project audits, budget drafting and ongoing maintenance, revenue and cash management, and financial performance reporting. In addition, this position is the liaison between CEPF and CI Finance and between CEPF and the financial staff of the donor partners.

The Director of Grants and Contracts oversees the team responsible for ensuring strategic and efficient sub-grant making, management, capacity building, and training. The Grants and Contracts team will ensure compliance of sub-grantees with relevant policies, reviewing grantee financial and audit reports, ensuring accurate sub-grantee records and information in the grants management system, and leading on training of capacity building components for the portfolio of sub-partners.

### 15.3 Financial planning and budgeting

A full project budget shall be agreed between the World Bank and CEPF. CEPF shall submit to the World Bank staff an annual projection of costs in the format of the approved full project budget along with an annual workplan. The annual budget shall cover the period of July 1 – June 30, consistent with CEPF's existing fiscal year period and annual planning processes. The annual projection shall be provided to the World Bank no later than May 31 of each project year.

CEPF's general ledger captures costs on a disbursement basis and the budget and actual expenditure documents will reflect CI payments made to sub-grantees.

CEPF shall lead the development of the full project budget and the annual projections. This will include development of an annual workplan by technical staff with costing of activities from financial management staff, in coordination with key external partners such as the Regional Implementation Team. This will result in estimates for personnel, travel, meetings, and events, professional services, other direct and indirect costs, and grants and assistance to implementing partners.

The World Bank shall review and approve within 10 business days the full budget and annual projections, providing feedback on reasonableness of anticipated project timelines and alignment to project objectives.

### 15.4 Disbursement, funds flow and banking arrangements

CEPF shall submit requests for cash advances from the World Bank based upon the annual budget projection and an assessment of the projected expenditures in the upcoming reporting period. These

disbursements shall be made into a segregated designated bank account held by CI in USD at Bank of America in the USA.

CEPF shall make disbursements for all project-related costs from CI's primary operating bank account. All transactions to/from partners shall be conducted from CI's primary operating bank account. While these payments will be directly debited to the project, based on the actual expenditures incurred in the general ledger each month for the project activities, an equivalent sum will be reimbursed from the segregated designated bank account to CI's primary operating bank. Foreign exchange loss, if any, will not be charged to the project account

### 15.5 Payment to technical service providers (consultants)

Any consultants will be appointed based on the procurement procedures agreed with the World Bank. Based on the procurement procedures and agreed contracts, as applicable, lump-sum payments to consultants would generally be on the delivery of outputs or products. Time and materials-based services contracts shall in all cases contain limits on costs. Payments shall be subject to review by technical and financial staff prior to disbursement and based upon the agreed disbursement schedule tied with specific and timebound deliverables. All payments to consultants shall be made only upon approval by CEPF technical and financial staff and will be subject, in all respects, to the terms and conditions of the project financing agreement.

### 15.6 Financial risk assessment

#### **Purpose**

The purpose of conducting a financial risk assessment is to understand the capabilities of a potential grantee relative to their operational and administrative policies and procedures. The financial risk assessment process has the dual purpose of ensuring that CEPF institutes the proper monitoring protocols for a given grant while tailoring the grant and its compliance requirements to the operational capacity of the intended recipient. Together with a well-developed grant proposal and budget, the financial risk assessment process is a core element to fulfilling CEPF's role as a custodian of donor funding.

The financial risk assessment determines whether an organization is low, medium, or high risk so that appropriate due diligence, monitoring and audit procedures can be applied. A risk rating of high does not mean that CEPF will not award funds to an organization. It does mean that CEPF 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.

#### **Policy**

CEPF grants staff must complete a financial risk assessment for all entities that will receive a cash grant from CEPF. Each grant applicant will complete a financial questionnaire, available in Annex 17.6, and submit supporting documentation listed in the questionnaire. CEPF 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. While the financial risk assessment results should be shared, discussed and potentially refined with program staff, the CEPF grants staff conducting the assessment determine the final risk rating and monitoring requirements.

The standard financial risk assessment worksheet is not required for small grants (i.e. grants of up to the agreed threshold amount of \$50,000), which are directly awarded and managed by the RIT. The RIT will be responsible for evaluating the financial risk of their grant awards and may use financial due diligence procedures of their choice, subject to prior approval by the CEPF Secretariat. All grants awarded with CEPF funding (whether awarded directly by CEPF or by the RIT) must be in compliance with the policies and procedures outlined in the CEPF Operational Manual, including all relevant Social and Environmental Standards, the terms and conditions of the grant from CI to the RIT, and the terms and conditions of the financing agreement between CI and the World Bank.

All grants will be assigned a risk level of low-medium-high. The minimum reporting and monitoring requirements are defined in the Financial Risk Assessment Worksheet, available in Annex 17.7.

The following factors will result in an automatic rating of high risk:

- The applicant is a foreign government entity such as a ministry, agency or parastatal, or an individual.
- The organization has been in business less than one year at the time of the assessment.
- The grant award comprises 76 percent or more of the entity's budget.
- The majority of the payments by the organization to vendors are made in cash.
- The applicant does not have an automatic double entry accounting system.
- The applicant organization does not have an approved manual in place that establishes the organization's financial and operational policies and procedures.
- The applicant organization has had an audit report with Deficiency or Significant Deficiency in internal controls in the past three years.

The complexity of the funding sources and proposed program for implementation must also be considered in determining the risk assessment. It is possible that a grant recipient may have different risk ratings for different grants depending on the size and complexity of the projects.

All financial risk assessment questionnaires, supporting documents and results must be stored in ConservationGrants.

### **Procedure**

The Financial Risk Assessment process is led and coordinated by the assigned Grants Manager based on the projected amount of the grant. The steps for completing a Financial Risk Assessment are as follows:

- Send the financial questionnaire to the grant applicant as early in the application process as is feasible;
- Review the financial questionnaire along with the supporting documentation and request clarifications and additional information from the applicant if required;
- Review the completed questionnaire and supporting documentation next to the grant application proposal and budget to understand if the organization's capacity is well-matched to the proposed project;
- 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. Determine if additional due diligence is required and define the monitoring and reporting requirements for the grant;



- If additional monitoring requirements, special conditions, or proposal adjustments are needed, share and discuss the assessment results with the Grant Director;
- Record the Financial Risk Assessment rating in the ConservationGrants Opportunity;
- Post a copy of the Financial Risk Assessment Worksheet along with all supporting information in the ConservationGrants Opportunity;
- Incorporate the risk mitigation and reporting measures into the Grant Agreement.

Larger international or national organizations may be assessed as low risk, however the project office or field office of the applicant organization responsible for managing the grant may have different financial management processes and associated staffing and oversight than their headquarters office. As such, these types of applicants should respond to the financial questionnaire with responses that are relevant for their project/field office so that CEPF is able to assign the appropriate risk assessment rating. In cases in which a project office/field office of such an entity is the applicant, and that office has a CEPF-assigned risk rating that differs from their headquarters, the overall risk ranking of the organization, as represented in the ConservationGrants Opportunity, will not be changed, but the risk assessment will be conducted specifically for that grant and the reporting and monitoring requirements that result from the Financial Risk Assessment will be incorporated into the grant agreement.

### ***Minimizing Risk***

CEPF may take one or more of the following actions to minimize the risk after determining that the prospective grant recipient is a high-risk organization:

1. Not award the grant.
2. Award the grant but with special award conditions.
3. Award the grant but arrange for appropriate technical assistance and/or administrative and financial capacity building for the recipient.
4. Reduce the grant amount or otherwise restructure the award.

### ***Not Awarding the Grant***

A grant should not be awarded if the nature and extent of the risk are so serious that poor performance by the recipient is probable. If the proposed project is sufficiently meritorious and has otherwise been approved, a decision not to award the grant on the grounds that the organization is high-risk implies a decision that the donor's interests cannot be adequately protected by options 2 and 3 above. The decision not to award the grant may be made by the Grants Manager, Grant Director, Vice President of External Grants and Contracts, Chief Financial Officer and/or the General Counsel's Office.

### ***Imposing Special Award Conditions***

If the grant recipient is designated as "high risk", it is CEPF's policy to include special conditions in the award as a means of minimizing CEPF's risk, protecting the donor's interests and affecting positive change in the grant recipient's performance, compliance and/or quality of its management systems. Special award conditions will be defined in the Financial Risk Assessment Worksheet. Special award conditions of a programmatic and/or administrative nature may be appropriate if an organization has a history of poor programmatic performance, is financially unstable, has inadequate management systems or has not complied with the terms of previous CEPF awards. With the support of the Grants Manager, it is ultimately the Grant Director's responsibility to ensure the grantee's adherence to special award conditions.

### ***Technical Assistance to High-Risk Grant Recipients***

Technical assistance to the grant recipient should be considered when funding is to be awarded to a high-risk organization. The purpose of such technical assistance is to raise the level of competence of the recipient organization so that it no longer needs to be treated as high-risk.

### ***Updating the Financial Risk Assessment***

Risk assessment should not be viewed as a one-time event. Significant turnover in the grant recipient's personnel, a change in the quality or timeliness of required reports, or information received from other sources may all necessitate a review to determine if a revised risk assessment is warranted. Changes or concerns in any of the following areas may signal a need to conduct a Financial Risk Assessment re-evaluation:

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

At any point, CEPF, the Grants and Contracts Unit and the GCO, may ask for a new financial risk assessment when they think one is warranted. The requesting program and the Grants and Contracts Unit should jointly determine whether a re-evaluation is necessary and whether a new financial questionnaire or other documentation should be requested from the grantee.

## **15.7 Financial Site Visits**

As part of CI's efforts to build and maintain strong relationships with partners and promote fiscal accountability, each year the Grants Manager will develop a site visit schedule identifying the grantees that will receive a formal financial site visit, taking into account the risk rating, grant award value, cash received to date, and issues identified through prior site visits or in other ways when developing the list of grantees to receive a site visit. The purpose of this visit is to review the compliance, accounting and financial management of the grantee, to identify any capacity building needs, and to ensure that proper financial controls are in place. All visits are documented in detailed reports. Site visit results may trigger a re-evaluation of financial risk. Issues and recommendations, where relevant, are documented in the site visit report. The Grants Manager will schedule a follow-up visit, if appropriate.

## **15.8 Payment to sub-grantees**

Following an initial payment upon signature based upon projected costs for the first reporting period of the sub-grant, payments to sub-grantees shall be based upon review of technical and financial progress reports and issued only upon approval of such reports. The financial progress report shall indicate use of prior advances, and a projection of costs for the subsequent reporting period. Upon review and approval of prior costs incurred and the reasonableness of activities to be performed and associated costs, an advance payment shall be issued to the sub-grantee. CEPF reserves the right to withhold up to 10 percent of the value of the sub-grant award until the final reports and other associated deliverables and requirements are fulfilled and approved by CEPF. In practice, CEPF will work with sub-grantees to ensure

they hold appropriate cash-on-hand, to continue and finish project activities. This may involve withholding a smaller amount than 10 percent, if this suits better the sub-grantee's cashflow needs.

### 15.9 Accounting system

CI uses Unit4 Business World as its accounting and human resources software for both its headquarters and field offices. Unit4 Business World's financial management package is an industry leading integrated set of financial management and accounting applications. CI field offices maintain their financial records in Unit4 Business, submitting files monthly for review and consolidation, and allowing users with the appropriate authorities to access financial information globally. CI's Chart of Accounts includes the ability to segregate projects by funding source, cost center, activity, sub-activity, and contract number. CI has established a coding structure within its general ledger to track CEPF funds. CI's budgeting system, named Clarity, is also linked to Unit4 Business

### 15.10 Accounting policies

Accounting for project reporting purposes shall be on the modified cash basis of reporting. Revenue collected shall be reported to the World Bank when cash is received. Expenses include cash disbursements, certain accrued liabilities and CI's allocated overhead costs adherent to any relevant donor restriction. Grants are expensed as payments are made. CEPF disburses grant funds to grant recipients based upon the recipients' cash needs and does not schedule these payments in advance. Funds when transferred to strategic grantee CANARI for further disbursement to sub-grantees, will be reported as advances by CI to the World Bank, until they have been actually disbursed for sub-projects. Funds when transferred to sub-projects will be reported as expenditures by CI to the World Bank project and their utilization will be tracked and accounted for in CI's grants management system through quarterly expenditure reports submitted by the beneficiaries.

The functional currency of CEPF is the U.S. dollar. Gains and losses from translations of foreign currencies into U.S. dollars are recognized as other income and losses in the financials. Where local currencies are used, assets and liabilities are translated into U.S. dollars on the date of consolidation at the exchange rate in effect on that date.

### 15.11 Indirect cost calculation

As is common to nonprofit organizations in the U.S., CI's accounting structure differentiates between direct and indirect costs. Direct costs are expenses that are directly attributable to a particular project or activity and generally include the cost of project related technical staff, travel, consulting services, supplies, meetings and workshops and office rent. CI's indirect costs are expenses that benefit the organization as a whole but cannot easily or efficiently be attributed to a particular project or activity.

In the US, the generally accepted method of charging these costs to donors is to accumulate them into a pool and to allocate them to each donor proportionally. During its annual audit and based on actual expenses incurred, CI calculates the indirect cost rate as either: indirect cost pool/total direct costs; or indirect cost pool/modified direct costs.

CI's current indirect cost rate is 16.51% of total direct costs, and 22.91% of modified direct costs.

An example of the calculation using modified direct costs:

- A. Project total costs = \$1,000,000
- B. Project sub-grants = \$850,000

- C. Project direct costs = \$122,041
- D. Project indirect costs = \$27,959 ( $C * 22.91\%$ ) = effective project IDC rate of 2.79%

For the CEPF World Bank project, the modified direct cost basis for indirect costs is applied, and indirect cost recovery will not be applied by CI to sub-grants administered by CEPF. This reduces the effective indirect cost rate substantially as shown in the example above.

The major components of CI's indirect cost pool are listed below:

- CI's finance department and worldwide accounting system, which ensures that CI's funding is managed according to U.S. law and generally accepted accounting standards and that CI can fulfill its fiscal responsibility to partner agencies and donors;
- CI's general counsel's office, which ensures that CI's partnerships and collaborations are governed by contracts valid in the countries in which it works;
- Human resources, which must manage staffing issues in culturally appropriate ways and ensure that CI hires and contracts the best available people in the countries where it works;
- Information Technology services; and
- Certain expenses related to executive functions, global communications, proposal development, and other shared administrative costs that would be difficult to track for individual programs.

CI's financial model calls for funding these functions by recovering indirect costs from restricted grants. CI does not have a large endowment dedicated to covering these costs, nor does it have a large membership base to provide sufficient unrestricted revenue to fully cover its indirect costs.

CI continually strives to keep its operational costs as low as possible while maintaining efficient and effective programs. CI received a four-star rating (the highest possible) from Charity Navigator, the premier charity evaluator in the U.S. This rating is partly based on the fact that CI keeps its support costs as low as possible in comparison to its programmatic costs as well in comparison to other similar organizations.

### 15.12 General rules on eligible expenditures

The main provisions for eligibility of cost are as follows:

- i. Costs must be incurred during the project implementation period;
- ii. Costs have to be included in the project budget;
- iii. Costs must be necessary for carrying out the agreed project activities;
- iv. Costs must be actual, recorded in the accounts or tax documents of the Beneficiary (or the partners, if applicable) and be identifiable, verifiable and backed by supporting evidence;
- v. Cost must be made in compliance with the principles of sound financial management in particular value for money and cost-effectiveness; and
- vi. Ineligible costs should not be allowed. It is important that expenses incurred during project period must all be eligible costs.

### 15.13 Purchase of goods and services by sub-grantees

#### General principles

- a. Purchase of goods and services shall be based on strict ethical principles and shall conform in all cases with CI's policies and standards of conduct. Grantees shall ensure that all sub-recipients, sub-contractors, and/or members comply with CI's procurement policy. All sub-recipients and sub-contractors of CI and its Grantees are expected to exercise sound business judgment and prudent administrative practices in conducting procurement activities. Purchases must be

necessary, reasonable and ensure the best value for the Grantee. All persons involved in the procurement process are responsible for protecting the integrity of the process and ensuring that all bidders, vendors and service providers are treated on a fair and impartial basis. CI reserves the right to request reimbursement for any contract or purchase that has not been awarded in conformity with the standards defined in this policy.

- b. All purchases of goods and services must be made with a completely impartial selection process based on price, quality, delivery time and place. No employee, officer, or agent of Grantee may participate in the selection, award, or administration of a contract if a real or apparent conflict of interest exists. Such a conflict exists when an employee, any member of his/her immediate family, his/her partner, or an organization which employs or is about to employ any of the aforementioned parties, has a financial or other interest in the firm selected for the award. Employees of the Grantee shall neither solicit nor accept gratuities, favors, or anything of monetary value from providers of goods or services or parties to sub-agreements. Vendors, suppliers or service providers that participate in the development or drafting of a specific term of reference may not be eligible to receive a contract for that work.
- c. Procurement contracts may be rendered only with responsible suppliers who are reputable, well established and are suppliers of the goods and services being purchased in the normal course of business. No award shall be made to a supplier, vendor or service provider who has engaged in corrupt or fraudulent practices in competing for or executing the contract in question.
- d. Grantee shall maintain and ensure its sub-recipients maintain a complete written record of the procurement process with documentation of all assessments and decisions taken during the solicitation, selection and award of the contract for goods or services. Such written record will be subject to review by CI.
- e. Grantee will obtain from CI all prior approvals required in the procurement plan (if applicable) or as otherwise required in the Grant Agreement.
- f. Grantee's suppliers and sub-contractors will be in compliance with all U.S. economic sanctions, anti-terrorism laws, and anti-money laundering laws, including but not limited to the USA PATRIOT Act, the laws administered by the United States Treasury Department's Office of Foreign Asset Control, Executive Order 13224. The Grantee shall not take any action that might cause CI to be in violation of the aforementioned laws and regulations. Grantee will retain documentation demonstrating such compliance which shall be subject to review by CI as detailed in the Grant.
- g. Procurement principles in this attachment apply to any procurement whether carried out by the Grantee or the Grantee's sub-recipients and sub-contractors.

#### **Procurement Method and Thresholds**

- a. Elements of a fair, efficient and transparent process:
  - i. Solicitation and selection processes are free of conflict of interest.
  - ii. Selection criteria are transparent and contract terms fully disclosed at the time of solicitation.
  - iii. All vendors who are invited to submit a quote receive the same information at the same time
  - iv. All vendors and service providers are given adequate and equal time to prepare and submit a quote or proposal
  - v. Grantees should seek the most favorable purchase terms for all purchases of any amount bearing in mind the specific need against quality, quantity and price considerations
  - vi. Grantees should justify their selection of vendor/contractor/consultant for purchases of any amount.

- b. Grantee shall ensure that all sub-recipients, sub-contractors and suppliers must sign the Offeror Representation of Transparency, Integrity, Environmental and Social Responsibility (Attachment 6 to the Grant Agreement).
- c. The following minimum thresholds apply to purchase of goods and services under sub-grant agreements. If a Grantee's standards and procedures foresee stricter thresholds, lower thresholds and stricter procurement methods may also be used.

<u>Threshold</u> (USD or equivalent)	<u>Procurement Method</u>
Purchase of a Vehicle	Seek CI prior approval prior purchase
< US\$2,000	No Price analysis required
US \$ 2,000 to \$ 9,999	Shopping: documented research of multiple vendors (at least 3)
US\$10,000 to \$14,999	Informal process that requires at least 3 vendors to submit a quote on their letterhead. Best practice uses a Request for Quotation.
US\$15,000-\$49,999	Targeted solicitation: minimum 3 Proposals/ Quotations; Selection based on evaluators' scores and written rationale for selection required.
US\$50,000 and up	Free and open competitive procurement: minimum 3 Proposals; formal Request for Proposal publicly advertised for a minimum of three weeks; convene Selection Panel to score and evaluate proposals; written rationale for selection required.

#### 15.14 Banking signatory arrangements and bank reconciliations

CEPF bank accounts require two signatories to release funds (e.g. by check or wire transfer). Signatories must be CI employees and should be chosen based on their position of responsibility and consistent presence in the office and should include a combination of at least two of the following:

- Country Director
- Lead Program Officer
- Operations Director
- Office Accountant

All staff having access to CI bank accounts must undergo criminal and credit background checks.

#### 15.15 Mode of payment

Disbursements must be made only for properly authorized and documented payment requests. The type of transaction dictates the approval requirements. A summary of the required approvals for each type of transaction is provided below.

Type of Transaction	Primary Approver	Secondary Approver
Vendor Invoices - US	Supervisor	Cost Center Manager & AP Approver
Vendor Invoices – Country Office	Supervisor	AP Approver

Grant or Contract Invoice	Project Lead/Contract Manager	Finance Lead or Operations Director & AP Approver
Purchase Requisition - US	Supervisor	Cost Center Manager & AP Approver
Purchase Requisition – Country Office	Supervisor	AP Approver
Travel Expense Report - US	Supervisor	Cost Center Manager & AP Approver
Travel Expense Report – Country Office	Supervisor	AP Approver

Each office may set thresholds appropriate to the local context up to the global threshold of US\$1,000 requiring dual signatures. Offices shall pay obligations timely per vendor terms, taking advantage of early payment discounts when possible. Each office should set a schedule for processing checks or wire transfers and should make ad hoc payments only in very limited, exceptional circumstances.

Required documentation and review thereof for release of funds:

- A printed copy of the Eligible to Pay report generated from Business World. This report ensures the appropriate staff have requested and approved the transaction per the table above and that the approvers have reviewed the appropriate supporting documentation, including but not limited to invoices, requests for payment, receiving reports, grantee financial and technical reports, confirmation of satisfactory completion of vendor/contractor deliverables.
- Signatory will ensure date of check, payee, and amount of payment are consistent with the information on the Eligible to Pay report. Payments may not be made before the invoice transaction is approved in Business World.
- Per U.S. GAAP, in order to correctly report payables at year end, any checks written but still held by the office must be mailed or delivered to the vendor or the payment must be reversed in Business World and recorded as a payment the next fiscal year.

### **Cashing Checks for Others**

It is expected that each employee and vendor will cash their own checks. In the rare instance that a vendor will require a cash payment or a staff member would expend a significant amount of time in the bank, a courier may be hired to cash the check. The cost of the courier will be deducted from the amount given to the vendor or staff member and a staff member may not charge this amount to CI.

A written request to hire a courier must be submitted with the invoice/payment request. The check will be made out in the name of the courier in order to allow them to cash the check. The memo line will state the name of the vendor or staff member for whom the payment is being written along with the invoice number as designated in Business World. The courier will be required to sign for the check and the staff member will be required to sign for the return of the funds from the courier via the Check Cashing Form.

## **U.S. Specific Procedures**

Checks are computer-generated via Business World in the U.S. office. The following procedures are specific to check and wire payments made from the U.S. Office.

### Check Payments:

- Business World generated checks include electronic signatures of the U.S. bank signatories.
- The signature files are saved on a secured network drive and may be accessed only by the Accounts Payable Manager through the check printing functionality of Business World.
- The Accounts Payable Manager may only print checks for invoices that have been approved through the Business World Electronic workflow process.
- The Finance Coordinator prints a listing of all checks issued and compares that list against the checks printed by the Accounts Payable Manager, ensuring all checks are accounted for and that the payees and amount of the check match the listing.
- The Finance Coordinator mails the checks or distributes checks to staff who sign for their receipt.

### Positive Pay:

CI's U.S. office uses Bank of America's Positive Pay feature to protect against altered or fraudulent checks. The Accounts Payable Manager prepares and transmits an electronic positive pay file to the Bank of America. The bank will pay only those checks presented that match the amount, date and payee as presented on the electronic listing.

### Wire Transfers:

- The Accounts Payable Coordinator initiates wire transfer payments based upon invoices that have been approved through the Business World Electronic workflow process.
- The Accounts Payable Manager reviews and releases the wire transfer payment.

### Review of Payments:

Disbursements exceeding US\$20,000.00 shall be approved by the Controller or the Chief Financial Officer through the Business World workflow process.

## **Field Specific Procedures**

Field offices that generate checks using the Excel program developed by CI must follow the below procedures:

### Check Payments:

- Excel generated checks may not include electronic signatures of the bank signatories.
- The Excel file must be saved on a secured network drive and the Accountant's computer only.
- The Accountant may only print checks for invoices that have been approved through the Business World electronic workflow process.
- The Bank Signatory prints the Eligible to Pay report and compares it against the checks printed by the Accountant, ensuring all checks are accounted for and that the payees and amount of the check match the listing.



### Seals/ Chops:

CI discourages the use of a bank seal/chop as a replacement for signature as they are easily transferred. In those countries where a bank seal/chop are the only accepted method of signing a standard bank transaction, the bank seal/chop must be kept in a locked, secured safe or drawer with access restricted to the owner of the stamp. A single individual may not retain both the official company chop/seal and the legal representative chop/seal or any two chops/seals that would allow them to perform a transaction independently.

### **Petty Cash**

Petty cash funds may be maintained by each CI office to pay minor incidental office expenses such as office supplies, local transportation to meetings, business meals, etc. when the amount of the transaction is small, the vendor may not be immediately known and thus the amount, timing and nature of the transaction make a check or wire payment impractical.

Each country may establish a petty cash fund to pay for minor office expenses. Establishment of the fund must be pre-approved by the Regional Operations Director (SDO) who will confirm appropriateness of the amount of the fund and adequacy of custodial and management processes of the fund. The SDO will inform the Arlington Field Accounting Manager in order to create a new General Ledger Account for the fund.

Petty cash may not be used for travel advances, project advances, staff salary, benefit related costs, grants or contracts. No loans of any type may be made from petty cash. Each petty cash fund is limited to the local currency equivalent of \$1,000 USD; however, each office should establish an overall limit less than or equal to this amount. If circumstances support the creation of a larger fund, Programs may request written authorization for a larger fund from the Vice President for Global Operations.

Petty cash will be managed on an imprest basis, meaning that the amount of the fund will be constant. The amount of the fund should be as low as is practical to accommodate the needs of the office. Whenever possible, payments should be made by wire transfer or check with preferred vendors. For small procurements that may be purchased with petty cash, the relevant procurement procedures apply.

Each office should set a transaction limit less than or equal to the local currency equivalent of \$50 USD. If an office resides in a cash-based economy, it may request written authorization from the Vice President for Global Operations to have a transaction limit less than or equal to the local currency equivalent of \$100 USD. Petty cash may be advanced to make purchases or may be used to reimburse staff that have purchased items on behalf of CI with their own funds. Purchases that are over the local petty cash limit may not be split into several smaller petty cash transactions to circumvent the transaction limit. All petty cash expenditures should be supported by receipts regardless of amount.

A unique general ledger account code must be established for each physical office's (i.e. a country office or a satellite office) petty cash funds. If an office maintains more than one petty cash fund, unique general ledger accounts must be established for each fund. A petty cash fund (e.g. GL account) may contain only one currency. If, for example, an office maintains petty cash in US\$ and local currency, the office must set up the cash in separate containers and general ledger accounts.

Miscellaneous cash receipts, including return of unused travel advances, sales of guidebooks or products, vendor refunds from payments made by wire or check, etc. should be deposited in the appropriate bank account and should not be credited to petty cash.

### **Petty Cash Custody**

The petty cash fund will be assigned to a custodian who is responsible for keeping the cash secure, issuing the funds, maintaining the receipts, reconciling the fund, and requesting replenishment. Petty cash along with the associated vouchers and receipts must be stored in a locked cash box at all times. The cash box must be kept in a secured, locked non-mobile space in the custodian's care. The Petty Cash fund may never be removed from the office. At any given time, the cash + receipts + outstanding advances in the box should equal the petty cash imprest amount.

The Operations Manager is responsible for counting the petty cash at replenishment or designating another employee to do so. In addition, they should conduct a minimum of one surprise cash count each month; surprise counts should take place at an unspecified, random time each month by an individual not responsible for custody or disbursement of petty cash and should be unannounced to the custodian. These counts should be documented and signed by both the custodian and the counter. Any discrepancies between the cash count and the cash log greater than USD \$50 must be immediately reported to the Country Program Director, who must take steps to identify the cause of the discrepancy with the support of the Senior Director for Operations or the Regional Operations Support. In addition, the Country Program Director must sign the cash form acknowledging the discrepancy.

### **Petty Cash Disbursements**

For each transaction, an employee must provide a receipt of items purchased that is signed by their supervisor, includes the date, purpose of the expense (i.e. taxi to USAID), the amount of the expense, and the appropriate charge codes. The custodian will enter the information into the Petty Cash Log and reimburse the employee. The custodian maintains the authority to refuse petty cash to an employee and require that they go through the normal accounts payable process to request payment by wire or check.

An employee who requests a petty cash advance must complete a petty cash voucher that includes the date, expected items purchased, and estimated amount. A supervisor must either approve the advance or the receipts. Petty cash vouchers should be sequentially numbered, used for advances, and accounted for during petty cash reconciliations. Voided vouchers should be included with petty cash receipts. Petty cash advances must be settled within 3 business days, but preferably on the same day taken out. Unspent cash must be returned when receipts are settled.

### **Petty Cash Reimbursement**

The custodian should replenish the petty cash fund when the available cash falls near or below 30 percent of the imprest amount or after 60 days, whichever comes first.

1. The custodian will create an accounts payable invoice in Business World. The reimbursement should be made payable to the custodian. The entry will credit the accounts payable account for the amount of the replenishment, which should equal the sum of the settled petty cash slips. The debit entry will be to the petty cash account.
2. At the same time, the custodian will prepare a general ledger entry to debit each expense (i.e. one per petty cash voucher) and credit petty cash. The petty cash slips should be scanned and attached to the general ledger transaction in Business World.

3. The replenishment request will be electronically routed to the custodian's supervisor for approval.
4. The custodian will cash the check and replenish the petty cash funds.

### **Petty Cash Recordkeeping**

The petty cash custodian should maintain a petty cash log for each petty cash fund maintained that includes the date and amount of disbursements or reimbursements, the petty cash voucher number, the recipient of the petty cash, description of the expense and general ledger number. The petty cash log should reflect the current cash balance at each transaction row and have a running balance for the total expenditures.

### **Petty Cash Fund Closure**

The office should close petty cash funds when the need for the fund no longer exists. Close out procedures for a petty cash fund include:

1. Prepare a final reconciliation
2. Deposit remaining funds in bank account
3. Record transaction in Business World
4. Notify the Arlington Field Accounting Manager to close the general ledger account.

## **15.16 Managing cash and bank accounts**

Funds received by an eligible facility must be properly documented and receipted. The funds will be spent only on planned activities in accordance with project objectives. All documents used in executing and recording receipts and payments shall constitute accounting records. CEPF shall coordinate and control the implementation of the budget by:

- (a) Ensuring timely and optimal procurement decisions;
- (b) Checking that various activities take place as scheduled and within approved financial limits;
- (c) Organizing regular meetings with the staff as well as with the eligible facility to review actual performance against budget; and
- (d) Ensuring timely investigation of variances and determination of their implications.

## **15.17 Record keeping**

“Records” means all documents, files, or records created by CI personnel while acting within the course and scope of his or her duties pertaining to CI business or operations, including but not limited to: computer records, e-mail, handwritings, photographs, videos, datasets, photocopies, or facsimile, regardless of the manner in which the record has been stored. In addition to paper Records, this Policy applies to all electronic Records, including Records created or maintained by CI personnel remotely, such as on home personal computers or laptops.

All records shall be retained for a period of 7 years or at length required by law.

## **15.18 Financial reporting**

Un-audited interim financial reporting (IFR) shall be submitted by CEPF to the World Bank Task Team Lead on a quarterly basis in the form and format stipulated in the Disbursement Financial Information Letter

(DFIL), which will be agreed along with the financing agreement at the project negotiations. The currency of the reporting shall be in U.S. dollars. The IFR shall follow the template in Annex 17.23, and include:

- Statement of sources and uses of the funds for the project;
- The presentation of expenditures against the project budget in the approved project expense categories;
- Explanation of variances;
- A projection of costs for the upcoming period; and
- Designated bank account reconciliation statement.

### 15.19 Audit arrangements

An external audit shall be conducted on an annual basis by an independent audit firm on the expenditures related to the project. The audit will be conducted in accordance with the agreed terms of reference during project preparation. The audit shall be financed by project funds. The audit shall be presented in a form and format consistent with that of the quarterly un-audited financial reports, to include:

- Statement of sources and uses of funds, aligned with approved expense categories and/or components;
- Statement of cash position for project funds; and
- Notes to the financial statements forming an integral part of the financial statements.

The audit report shall be submitted to the World Bank within six months after the end of CEPF's fiscal year.

## 16. CLOSE OF THE PROJECT

### 16.1 Introduction

The project closing date should not exceed the deadline given in the Financing Agreement unless agreed between Conservation International (CI) and the World Bank. Project completion is the status of a project when all activities identified in the Annual Work Plan for the last year of the Project have been accomplished and any final assessments or evaluations required of the project have been completed and management comments provided and distributed to relevant parties.

Project completion consists of the operational aspect (i.e. operational closure) and the financial aspect (i.e. financial closure): A Project is operationally closed when all the activities identified in its last Annual Work Plan have been completed. A Project is financially closed when all its financial transactions have been completed, all its contracts liquidated, and any final asset transfers required have been completed.

### 16.2 Procedures for project completion

Six months prior to the end date of the Project, the CEPF Secretariat will develop a Plan for project completion activities. The plan may include consultations on project results and completion of final reports. It may also include communication activities to disseminate Project results, share lessons learned, and advocate for changes based on the successful models and success stories. The costs for these activities will be included in the estimated budget for the last quarter of the last year. Before declaring the operational closure of the Project, the CEPF Secretariat, as the Project Implementation Unit, will ensure that the following conditions are met:

- All Technical Service Providers have fulfilled their tasks as specified in their respective TORs. All technical reports have been received from the consultants/experts and distributed to relevant parties.
- All the goods, services and/or direct outputs of procurement activities of the CEPF Secretariat have been transferred to the CEPF Secretariat against the terms and conditions contained in the signed procurement contracts.
- All training activities, conferences and workshops have been completed.

After meeting these conditions, the main steps for the declaration of operational closure are as follows:

- CI notifies in writing to the World Bank the financial closure of the Project.
- Within five working days following the receipt of the notification from CI, the World Bank confirms in writing the financial closure of the Project.

Financial closure of the Project must take place within six months of the date of its operational closure. Six months before the closing date, the World Bank will decide whether there is need to extend the closing date. After the closing date passes, the World Bank may stop accepting withdrawal applications from the project. Closing dates should not pass without World Bank action to either close the grant account or extend the closing date. Unless already provided for in the financing agreement, it shall be decided whether an additional period after the closing date is needed to process final withdrawal applications. If so, the co-Task Team Leaders will advise CI that the World Bank will process withdrawal applications received within the agreed period after the closing date. These will apply solely to

expenditures made or payments due for goods, works, and services delivered or performed before the closing date.

Following completion of disbursements by the World Bank, it will advise CI of the final disbursement position and any unused balance and the standard closure procedures shall follow, including preparation of the final financial statement and arrangements for any audit required, preparation of an implementation completion report that assesses the project's success in meeting the development objective and intermediate outcomes, including lessons of experience.

Before declaring the financial closure of the Program, CI should ensure that the following conditions are met:

- All accounting records are closed.
- Project assets are transferred to recipient agencies. All project assets purchased for use by the CEPF Secretariat will remain the property of CI for continued use by the CEPF Secretariat. Any project assets purchased for use by the Regional Implementation Team (RIT) will remain the property of CANARI. Any project assets purchased by a civil society organization under a sub-grant will remain the property of that organization.
- Project documents and financial records are stored online, for a period not less than that specified in the financing agreement.
- The Final Financial Report for the Project is prepared and distributed to relevant parties.

After meeting these conditions, the main steps for the declaration of financial closure are as follows:

- CI notifies in writing to the World Bank the financial closure of the Project.
- Within five working days following the receipt of the notification from CI, the World Bank confirms in writing the financial closure of the Project.

## 17. ANNEXES

### 17.1 Terms of Reference for the Regional Implementation Team

**Component 1.** Coordinate CEPF investment in the hotspot.

#### Functions

1. Serve as the field-based technical representative for CEPF in relation to civil society groups, grantees, international donors, host country governments and agencies, and other potential partners within the hotspot.
2. Ensure coordination and collaboration with CEPF's donors, in coordination with the CEPF Secretariat and as appropriate in the hotspot.
3. Promote collaboration and coordination with other donors investing in the hotspot and opportunities to leverage CEPF funds with local and international donors and governments investing in the hotspot.
4. Engage conservation and development stakeholders to ensure collaboration and coordination.
5. Build partnerships/networks among grantees in order to achieve the objectives of the ecosystem profile.
6. Respond to CEPF Secretariat requests for information, travel, hosting of donors and attendance at a range of events to promote CEPF.

**Component 2.** Support the integration of biodiversity into public policies and private sector business practices.

#### Functions

1. Support civil society to engage with government and the private sector and share their results, recommendations and best practice models.
2. Engage directly with private sector partners and government officials and ensure their participation in implementation of key strategies.

**Component 3.** Communicate the CEPF investment throughout the hotspot.

#### Functions

1. With the input of the CEPF Communications Team, develop a communications strategy for the investment.
2. Implement, monitor and report on the Stakeholder Engagement Plan, and citizen engagement approach and indicators of the project.
3. Communicate regularly with CEPF and partners about the portfolio through face-to-face meetings, phone calls, digital communications (website, electronic newsletter and/or social media) and reports to events, forums and panels in alignment with the communications strategy.
4. Support the CEPF Secretariat to obtain photographs and video for use in communications materials, and coordinate with the CEPF Communications Team to obtain associated legal documentation (such as use licenses). Aim to provide at least one good-quality image for each project.
5. Translate selected materials into hotspot languages.

6. Monitor media coverage and promptly inform and coordinate with the Grant Director and CEPF Communications Team in regard to any controversy related to CEPF projects, grantees or donors and any media coverage of the controversy.
7. Prepare a range of communications products to ensure that the key information provided in the ecosystem profiles is accessible to grant applicants and other stakeholders.
8. Disseminate portfolio results via multiple and appropriate media in alignment with the communications strategy.
9. Share story ideas and strong results, and provide information and/or assistance to the CEPF Communications Team as needed.
10. Conduct exchange visits with other RITs to share lessons and best practices, in consultation with the CEPF Secretariat.
11. In coordination with the CEPF Secretariat, ensure communication with local representatives of CEPF's donors.

**Component 4.** Build the capacity of civil society.

**Functions**

1. Assist civil society groups in designing projects that contribute to the achievement of objectives specified in the ecosystem profile and a coherent portfolio of mutually supportive grants.
2. Build institutional capacity of grantees to ensure efficient and effective project implementation and financial management.
3. Build capacity of grantees, on an as-needs basis, to comply with CEPF's environmental and social standards and gender policy.
4. Promote collaboration among civil society, government and private sector actors.

**Component 5.** Support the CEPF Secretariat process for solicitation and review of proposals for large grants (above a threshold amount of between US\$20,000 and US\$50,000).

**Functions**

1. Publicize the contents of the ecosystem profile and information about CEPF's online standardized large grant application process.
2. Promote availability of funds via public announcements, print and electronic media, and applicant outreach events to publicize individual calls for Letters of Inquiry beyond their posting on the CEPF website.
3. With the CEPF Secretariat, establish schedules for the release of solicitations and grant awards.
4. Evaluate Letters of Inquiry.
5. Facilitate technical review of applications, including external reviews (e.g., via panels of experts or professional peer relationships with individuals in relevant fields).
6. Assist the Grant Director to obtain external reviews of all applications over \$250,000.
7. Communicate with applicants throughout the application process to ensure they are informed and fully understand the process.
8. Support the CEPF Secretariat in obtaining technical documents (including environmental and social instruments), and financial documents necessary for award of a grant.
9. Mentor and guide applicants in project design (e.g., via remote electronic means, in person, via classroom-type workshops on proposal preparation).



10. Review proposal drafts prior to final grant award.
11. Following established procedures codified in the CEPF Operational Manual and reflected in the online application system (ConservationGrants), decide jointly with the CEPF Secretariat on the award of all large grant applications.

**Component 6.** Manage a program of small grants (up to a threshold amount of between US\$20,000 and US\$50,000), in compliance with the operational manual.

#### **Functions**

1. Establish and coordinate a process for solicitation of small-grant applications.
2. Announce the availability of CEPF small grants.
3. Conduct due diligence to ensure applicant eligibility and capacity to comply with CEPF funding terms.
4. Convene a panel of experts to evaluate proposals.
5. Screen applications against CEPF's environmental and social standards, and provide guidance to applicants on compliance with applicable standards.
6. Decide on the award of small grants and manage the contracting of these awards.
7. Manage disbursement of funds to grantees.
8. Ensure small-grant compliance with CEPF funding terms.
9. Develop a monitoring plan for the small grant portfolio to ensure outreach, verify compliance and support capacity building.
10. Monitor, track, and document small-grant technical and financial performance.
11. Maintain accurate and up-to-date records, including for CEPF monitoring tools, on all small grants awarded on the CEPF grants management database (ConservationGrants).
12. Open a dedicated bank account in which the funding allocated by CEPF for small grants will be deposited, and report on the status of the account throughout the project.
13. Ensure that grantees complete regular technical and financial progress reports.

**Component 7.** Monitor and evaluate the impact of large and small grants.

#### **Functions**

1. Collect and report on data for portfolio-level indicators (from large and small grantees) annually as these relate to the logical framework in the ecosystem profile.
2. Collect and report on relevant data for CEPF's global monitoring indicators, making use of CEPF monitoring tools and ConservationGrants.
3. Ensure quality of performance data submitted by large and small grantees.
4. Verify completion of products, deliverables, and short-term impacts by grantees, as described in their proposals. This includes verification and reporting on environmental and social standard compliance.
5. Support grantees to comply with requirements for completion of tracking tools, including the Management Effectiveness Tracking Tool, Civil Society Tracking Tool, and Gender Tracking Tool.
6. In coordination with the CEPF Secretariat, conduct a mid-term assessment and a final assessment of portfolio progress, and assist with report preparation.

**Component 8.** Support the CEPF Secretariat to monitor the large grants portfolio and ensure compliance with CEPF funding terms.

**Functions**

1. Support the CEPF Secretariat to ensure that large grantees comply with CEPF funding terms, including by visiting grantees on an as-needs basis to establish facts, follow-up on recommendations, and provide support and guidance with financial and programmatic management.
2. Provide support and guidance to grantees, on an as-needs basis, for the implementation of measures necessary to comply with CEPF's environmental and social standards.
3. Participate in at least two supervision missions each year, involving visits by the CEPF Secretariat to monitor financial and programmatic performance of the RIT and selected grants.

## 17.2 Investment Strategy for the Caribbean Islands Hotspot

### Priority Sites

To ensure that CEPF investment in the Caribbean Islands Hotspot delivers significant and sustained impacts for biodiversity conservation, the ecosystem profile identifies a set of priority geographies from among the 154 KBAs and seven conservation corridors in the eight countries targeted by the project. The prioritization process relied on national expert assessment of the highest ranked KBAs in terms of relative biological importance against eight additional criteria:

- i. *Degree of threat.* Vulnerability scores based on the presence of such threats as agriculture, commercial development, climate change, invasive alien species, etc.
- ii. *Funding need.* Level of investment by national and international donors for conservation.
- iii. *Management need.* Existence of management plans, staffing, infrastructure, and mechanisms for community engagement and sustainable funding.
- iv. *Civil society capacity.* Emphasizing the presence, interest, and capacity of local CSOs.
- v. *Operational feasibility.* Viability of civil society to work effectively at a site, based on a consideration of security risk, land tenure, legal restrictions and other factors.
- vi. *Alignment with national priorities.* Support for those KBAs that are national biodiversity priorities.
- vii. *Opportunity for landscape-scale conservation.* Ability to achieve landscape-scale conservation through linkage to large KBAs.
- viii. *CEPF feasibility.* Potential for added value of CEPF investment based on continuity of action at sites targeted during the initial phase, and strategic opportunity based on current or emerging conditions at KBAs.

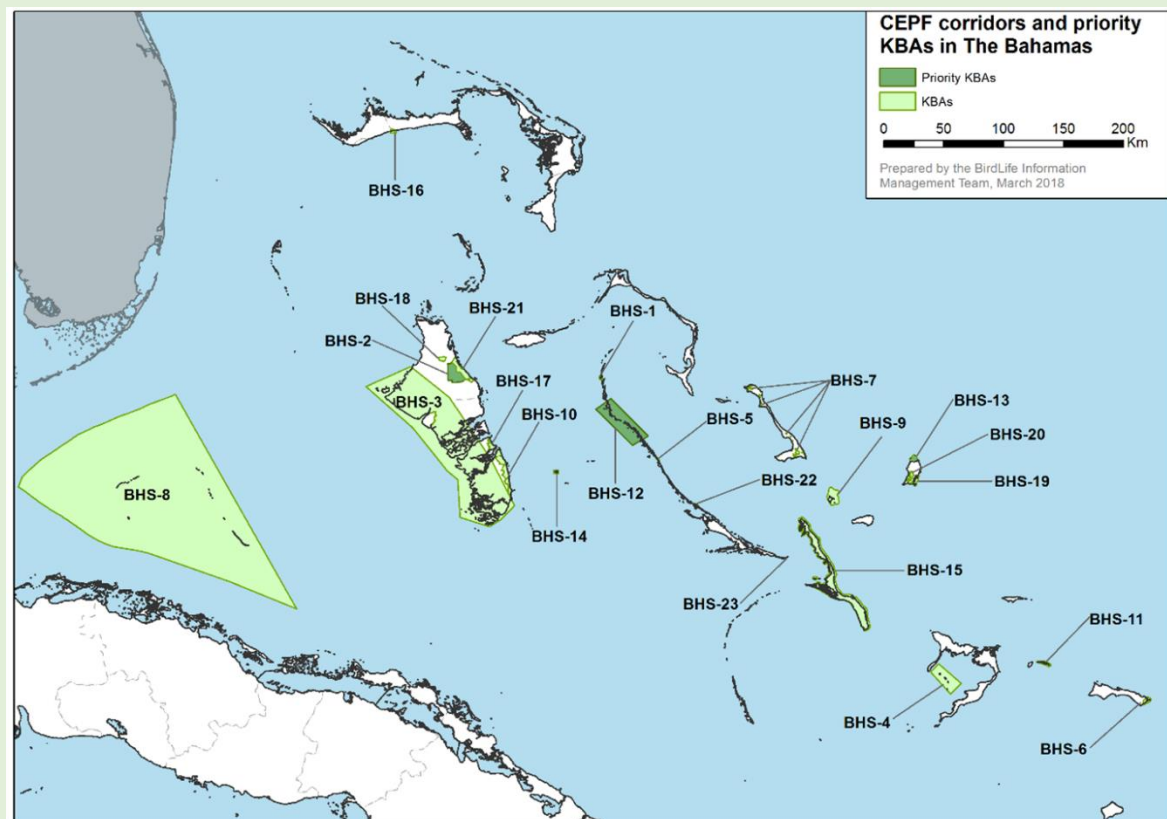
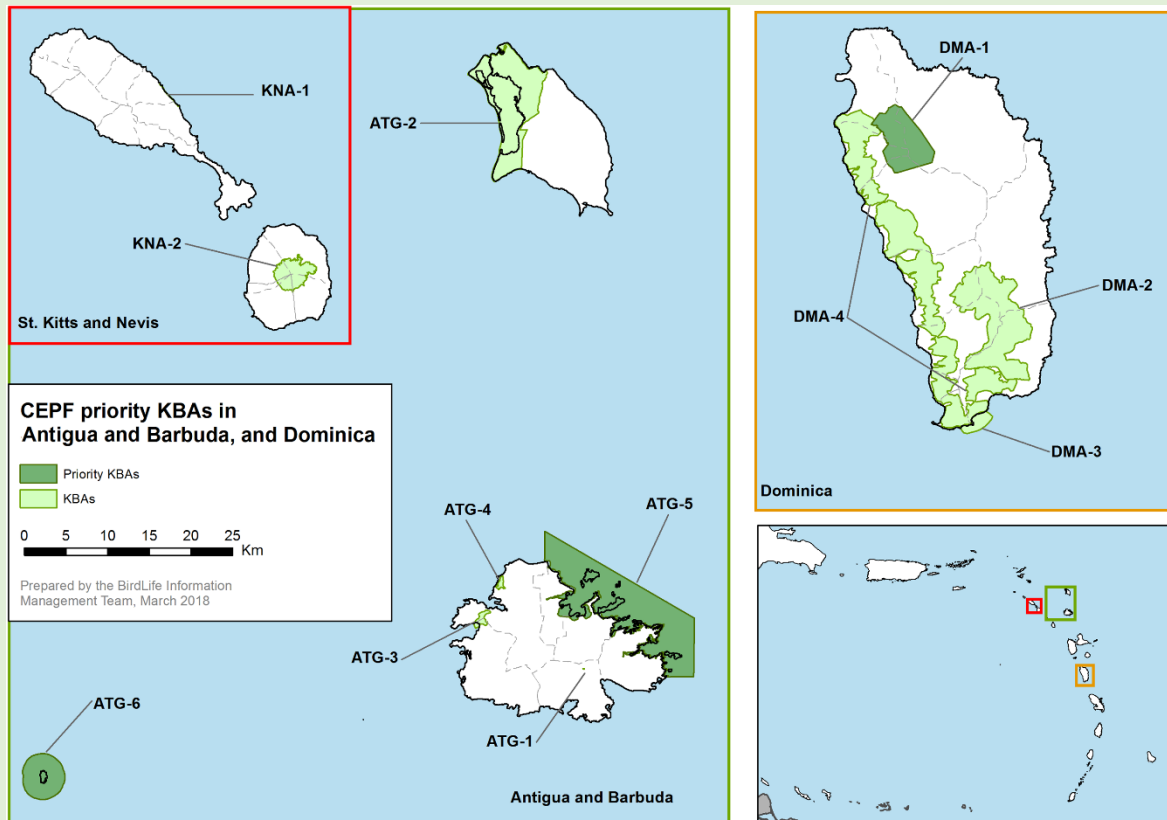
Of the 154 KBAs identified in project countries, the investment strategy will target 43 sites that are considered the highest priorities (Annex 17.10). Twenty-eight of these sites (65 percent) were priorities for CEPF support during the initial phase of investment in the hotspot. Priority sites encompass terrestrial and nearshore marine ecosystems (see maps on following pages). All priority sites contain terrestrial ecosystems. CEPF will only support activities in nearshore marine ecosystems where they relate to terrestrial ecosystems, such as through ridge-to-reef approaches; activities in offshore marine ecosystems will not be eligible for support. The 43 CEPF priority sites cover 1.3 million hectares in eight countries; 1.2 million hectares or 90 percent of their land area is partially or completely protected. Collectively, they represent those sites with the highest biological values that are under the most threat, with the most urgent need for improved management, and where it is possible to work without major impediments.

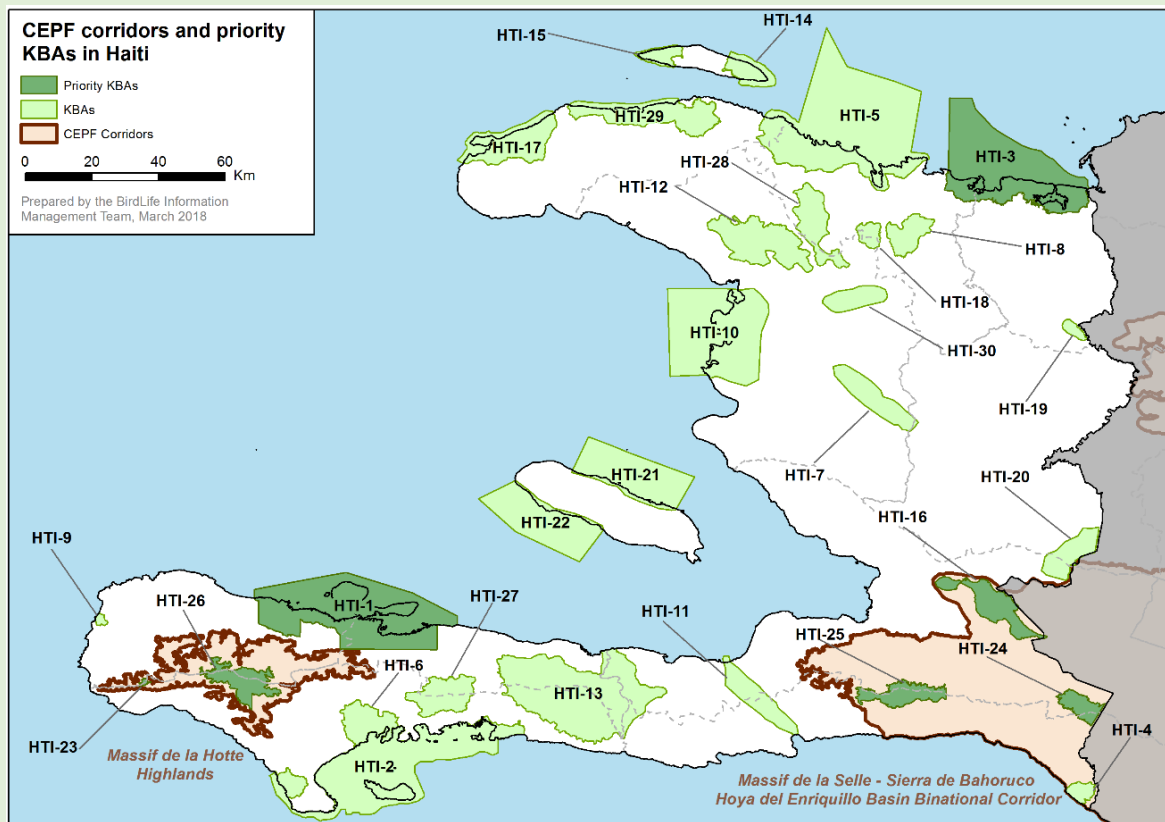
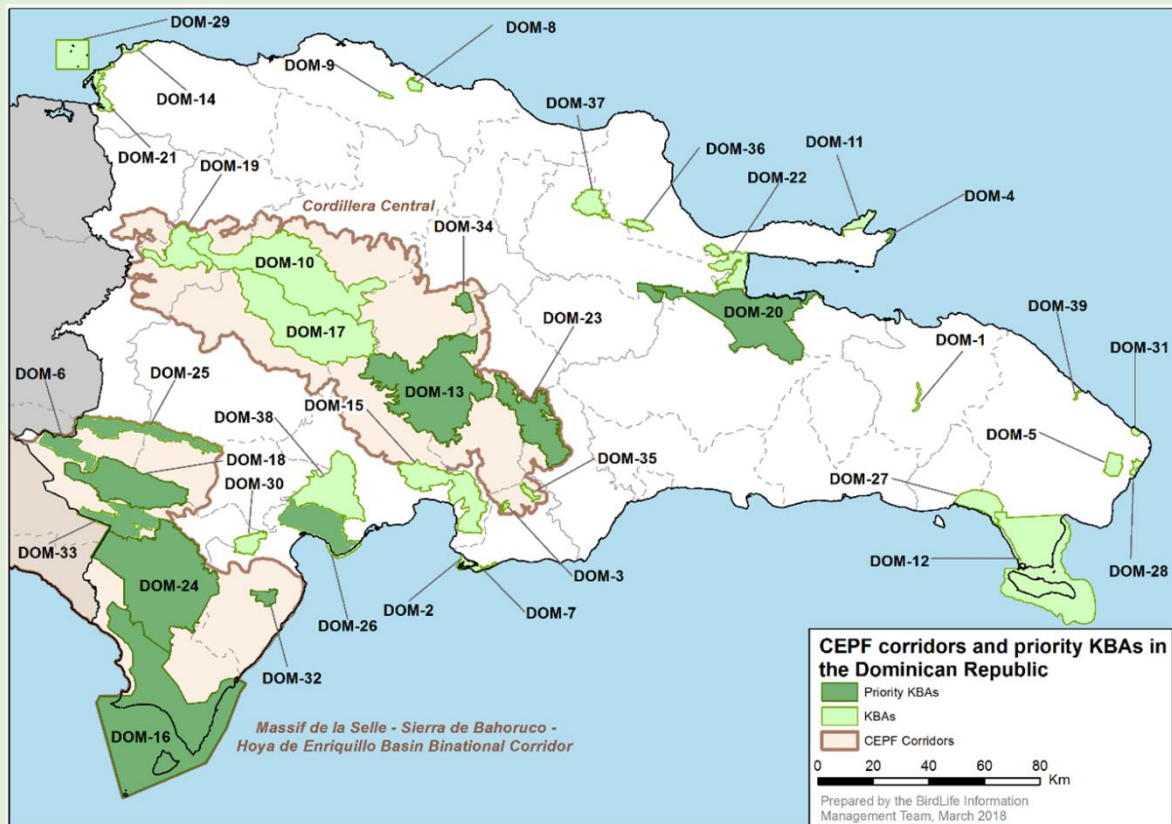
### Priority Corridors

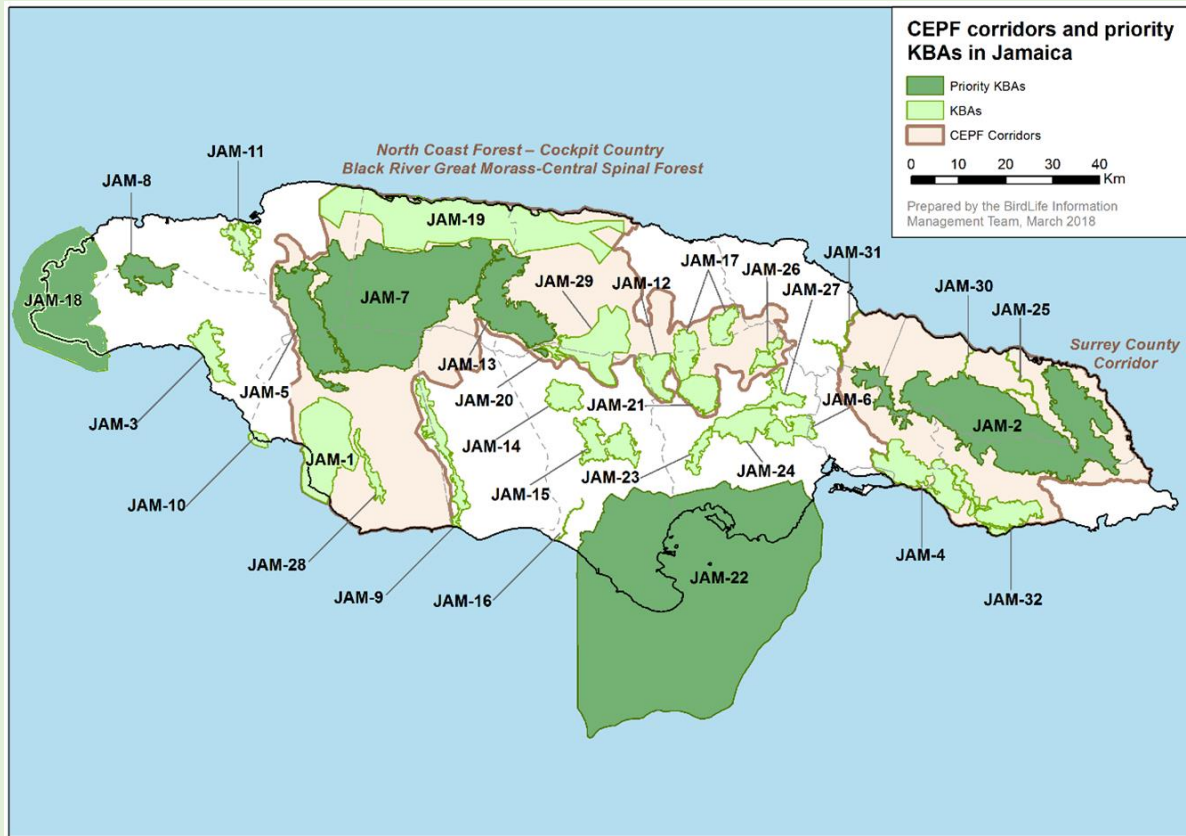
CEPF will support landscape-level conservation actions in the seven corridors listed in Annex 17.11. Each priority corridor includes at least one CEPF priority site. At the corridor level, CEPF will support the preparation and implementation of landscape-level policy and planning frameworks, particularly those that enhance ecosystem service functionality and climate change resilience of the priority sites and the watersheds they support. All corridor-level activities must have a demonstrable link to the functionality and ecosystem services of priority sites.

### Priority Species

CEPF investment in species conservation will target globally threatened single-island endemic species occurring in at least one priority site, with the aim of reversing species declines and preventing extinctions.





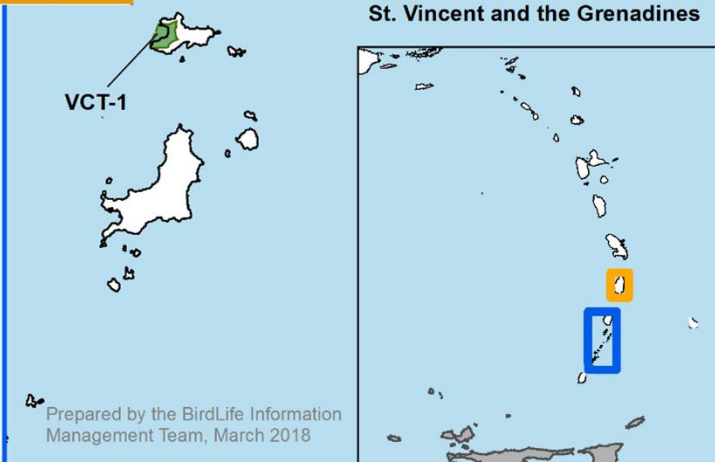
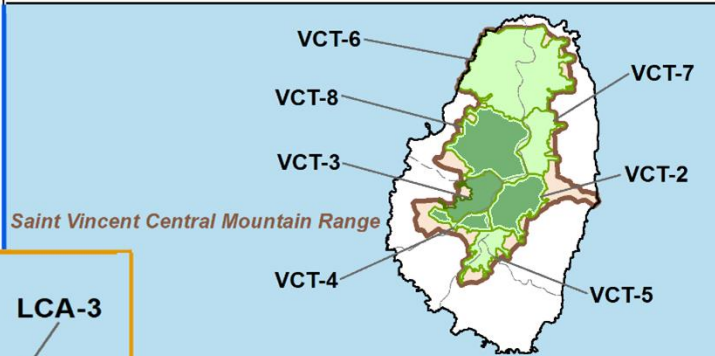
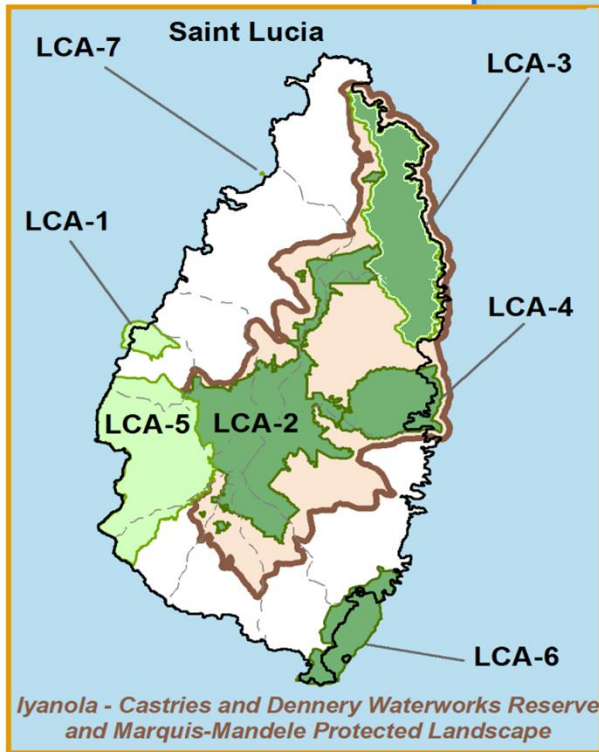




# CEPF corridors and priority KBAs in Saint Lucia, and St. Vincent and the Grenadines

Priority KBAs  
 KBAs

0 5 10 15 20 25 Km



## Strategic Directions and Investment Priorities

Strategic Directions	CEPF Investment Priorities
1. Improve the protection and management of 43 priority sites for long-term sustainability	<p>1.1 Strengthen the legal protection of priority sites</p> <p>1.2 Prepare and implement participatory management plans that support broad stakeholder collaboration</p> <p>1.3 Assess climate change impacts and integrate climate change adaptation into management plans and their implementation responses to protect ecosystem functions and build resilience</p> <p>1.4 Eradicate, control or prevent further spread of invasive plants and animals that are affecting globally threatened species populations at priority sites</p> <p>1.5 Update the KBA analysis to fill critical conservation planning data gaps in Haiti</p>
2. Increase landscape-level connectivity and ecosystem resilience in seven priority corridors	<p>2.1 Prepare and support implementation of participatory local and corridor-scale land-use and watershed management plans to guide future development and conservation efforts</p> <p>2.2 Support sustainable livelihoods in agriculture, fisheries, forestry, and nature tourism that enhance ecosystem resilience and landscape-level connectivity and deliver gender-equitable benefits, in order to maintain the functionality of priority sites</p> <p>2.3 Promote the adoption and scaling up of conservation best practices in those enterprises compatible with conservation to promote connectivity and ecosystem services in the corridors</p>
3. Safeguard priority Critically Endangered and Endangered species	<p>3.1 Prepare and implement conservation actions plans for priority Critically Endangered and Endangered species</p> <p>3.2 Identify climate impacts and develop and implement management plans in response to climate change impacts on priority Critically Endangered and Endangered species</p> <p>3.3 Support assessments of high priority plant families to update national lists and the IUCN Red List and develop conservation action plans</p>
4. Improve the enabling conditions for biodiversity conservation in countries with priority sites	<p>4.1 Support the role of civil society organizations in policy dialogue and advocacy focused on government policies and practices that impact priority sites</p> <p>4.2 Mainstream biodiversity conservation and ecosystem service values into development policies, projects, and plans by government and the private sector, with a focus on addressing major threats, such as</p>



Strategic Directions	CEPF Investment Priorities
	<p>unsustainable agriculture, mining, tourism and infrastructure development</p> <p>4.3 Establish and strengthen sustainable financing mechanisms</p> <p>4.4 Build stakeholder and constituency support for the conservation of priority sites and priority globally threatened species through targeted communication and information dissemination</p>
5. Support Caribbean civil society to conserve biodiversity by building local, national and regional institutional capacity and fostering stakeholder collaboration	<p>5.1 Strengthen CSOs' technical knowledge and skills to implement practical, applied biodiversity conservation actions through short-term training in topics that will advance implementation of projects that support CEPF priorities, based on a CSO training assessment and strategy</p> <p>5.2 Strengthen the administrative, financial, fundraising and project management capacity of strategic CEPF civil society partners to implement biodiversity conservation programs and activities</p> <p>5.3 Support local, national and regional information exchange, networking, mentorship, and coalition building among civil society organizations</p>
6. Provide strategic leadership and effective coordination of CEPF investment through a Regional Implementation Team	6.1 Build a broad constituency of civil society groups working across institutional and political boundaries to strengthen the communication capacity of local civil society organizations in support of their mission and to build public awareness on the importance of conservation outcomes

### **Strategic Direction 1. Improve the protection and management of 43 priority sites for long-term sustainability**

Important gains in improving KBA viability, protection and management were made during the initial phase of CEPF investment in the hotspot, through strengthened legal protection for eight KBAs and strengthened management of 12 KBAs. There remains more to be done to strengthen and consolidate KBA management, however, particularly in the face of a changing climate and pressures from economic use.

CEPF has prioritized 43 KBAs for direct, on-site conservation support. Seven of these sites benefitted from the preparation of management or conservation action plans during the initial investment phase. In addition, three of them were brought under new or increased protection, either in whole or in part, during the initial phase. Although the overall level of formal protection across the KBAs prioritized for investment during the next phase is high, at 90 percent, 11 priority sites have no or minimal legal protection.

Strategic Direction 1 builds on the previous investment in the Caribbean islands by helping to fill remaining gaps in legal protection and strengthen management frameworks for some of the hotspot's most biologically important sites. Particular emphasis is placed on ensuring the long-term social and institutional sustainability of management interventions through participatory governance, and on developing technical capacity of civil society to carry out management interventions. Strategic Direction 1 will be implemented

through five site-level investment priorities. The sites that are eligible for investment under this strategic direction are listed in Annex 17.10.

***Investment Priority 1.1 Strengthen the legal protection of priority sites***

Under this investment priority, CEPF will support civil society efforts to advance the technical and legal processes to attain protected area status for priority sites that are currently unprotected or under-protected. Particular attention will be given to sites prioritized for protection in national strategies. CEPF will also support activities that lay the groundwork for non-traditional and flexible approaches to protection, including private protected areas, micro reserves, municipal reserves and community conservation areas.

***Investment Priority 1.2 Prepare and implement participatory management plans that support broad stakeholder collaboration***

CEPF will support civil society efforts to prepare or update management plans for priority sites. Priority will be given to the development of plans that involve local communities and anticipate a role for CSOs and communities in implementation, for example through co-management arrangements. CEPF will also support efforts to undertake or complete legislative process aligned with management plans, such as the preparation of regulations or zoning plans. These plans should address gender equity and promote the equitable participation of men and women.

For priority sites that already have management plans, CEPF will support implementation of high priority strategies and actions, with a particular focus on interventions that improve management effectiveness and long-term sustainability, and complement other planks of the CEPF investment strategy. Development of capacities and mechanisms for shared governance of protected areas to advance conservation, sustainable livelihoods and stakeholder rights will also be eligible for CEPF support, for example through co-management or community-based management regimes. CEPF will also support efforts to improve enforcement of existing regulations. Priority will be given to initiatives that ensure the full and effective participation of stakeholders and include mechanisms for the equitable sharing of economic and socio-cultural costs, benefits and impacts arising from the establishment and management of protected areas. Of particular interest are initiatives that open the way for new types of participatory governance arrangements. With any of these investments, CEPF grantees will be expected to monitor and assess the impact of management interventions to identify changes and trends over time and measure progress towards management goals and adapt management accordingly.

Where necessary to guide conservation planning and action, CEPF will support CSO efforts to fill critical gaps in knowledge and information, including through highly targeted field surveys of sites and selected species, baseline monitoring assessments, and the preparation of community assessments or socioeconomic surveys.

***Investment Priority 1.3 Assess climate change impacts and integrate climate change adaptation into management plans and their implementation responses to protect ecosystem functions and build resilience***

Given the hotspot's vulnerability to climate change and variability, there is a strong case for supporting management interventions that both build climate resilience and remove or reduce non-climate stressors and land-use pressures. By providing services such as carbon sequestration, flood protection, shoreline stabilization and soil erosion control, natural ecosystems are important climate change buffers. In addition to being a vital defense against some of the most extreme climate impacts and providing important services for disaster risk reduction, healthy ecosystems are also critical to sustaining ecosystem-based livelihoods.

There is an urgent need to ascertain climate impacts on biodiversity, especially globally threatened species, and use this information to guide resilience and adaptation strategies. This investment priority will facilitate updating and retrofitting existing management plans and implementation activities so that they integrate climate change responses.

In particular, CEPF will support civil society efforts to update and revise existing management plans to include climate change responses, investigate climate/ecosystem interactions and develop and test management responses (with a focus on maintaining habitats for priority species), and leverage climate change funding.

***Investment Priority 1.4 Eradicate, control or prevent further spread of invasive plants and animals that are affecting globally threatened species populations at priority sites.***

Invasive alien species (IAS) management is a proven means of protecting native species on islands. IAS continue to be among the most urgent threats to many of the hotspot's 43 priority sites. This threat is further intensified by the impacts of climate change, which may lead to changes in dominant species in ecosystems and the emergence of new invasive species or invasive pathways. The control and eradication of IAS require a well-planned and coordinated response.

Under this investment priority, CEPF will support civil society efforts to undertake coordinated planning and action to confront threats from IAS at the most affected sites, particularly through partnerships that build local civil society IAS capacity and/or leverage resources for ongoing IAS management. Initiatives that promote formal and informal networking, information sharing, and capacity building among CSOs, scientists and government institutions will also be eligible for support. Preference will be given to initiatives that eradicate (and prevent reintroduction) of IAS, because these have more limited requirements for additional funding beyond the project period. Control efforts will only be supported where there is a clear plan for financial sustainability after the end of CEPF support.

***Investment Priority 1.5 Update the KBA analysis to fill critical conservation planning data gaps in Haiti***

Critical data gaps hindered the identification and updating of two KBAs in Haiti that were priorities during the initial phase of CEPF investment: Parc National Naturel des Deux Mamelles; and Parc National Naturel Forêt des Pins-Unité 2. Recognizing the importance of KBAs as a tool for conservation planning, CEPF will support the compilation and analysis of data to complete the KBA assessment process for these two sites.

Under this investment priority, CEPF will support desk-research-driven data gathering and assessment processes with relevant experts and stakeholders leading to a formal assessment by the KBA Partnership Secretariat. CEPF does not anticipate funding extensive field research under this investment priority but, where the need for limited additional field research is justified, it will provide such support. CEPF will require co-financing for sites where extensive field work is needed.

**Strategic Direction 2. Increase landscape-level connectivity and ecosystem resilience in seven priority corridors**

Work at the corridor level offers the advantage of scale to maintain the functionality of vital ecosystem services. Pockets of protection do not necessarily mitigate against pressures in buffer zones, particularly those pressures that are related to human activity. Landscape-level approaches are suited to the small islands of the Caribbean with their limited land area and strong land-use competition. There were robust conservation outcomes at the landscape-level during the initial phase of CEPF investment, and many of the

conditions and opportunities that were in place then remain. These opportunities include initiatives at the municipal level, particularly in the Dominican Republic and Haiti, as well as other ongoing land-use planning and plan implementation processes that are taking place in hotspot countries, such as the Local Sustainable Development Plans in Jamaica. Stakeholders in Haiti consulted as part of the preparation of this ecosystem profile recommended that land-use planning in the corridors continues to be a high priority. Climate change adds another layer of urgency to ensuring connectivity and ecosystem resilience in corridors. Promoting sustainable livelihoods also remains a key priority. The corridors that are eligible for investment under this strategic direction are listed in Annex 17.11.

***Investment Priority 2.1 Prepare and support implementation of participatory local and corridor-scale land-use and watershed management plans to guide future development and conservation efforts***

Poor land-use planning and inappropriate agricultural and tourism development continue to contribute to environmental degradation in CEPF-eligible countries. CEPF will build on its landscape-level work under its initial investment, and will continue to support the planning and adoption of local and corridor-level land-use plans that create consensus by stakeholders on a long-term vision for conservation and development.

CEPF will support land-use zoning and local planning processes, including the creation of legal mechanisms, such as ordinances, that integrate conservation values. CEPF will also support preparation of integrated management plans, such as catchment management plans, as well as CSO-led implementation of the priority actions set out in these plans. Consideration will be given to initiatives that target private land owners, including for the expansion of landowner incentive programs where they exist, or the development of such schemes through local or national government frameworks.

***Investment Priority 2.2 Support sustainable livelihoods in agriculture, fisheries, forestry and nature tourism that enhance ecosystem resilience and landscape-level connectivity and deliver gender-equitable benefits, in order to maintain the functionality of priority sites***

CEPF will continue to support innovative efforts to involve the private sector and local communities that demonstrate links between conservation and sound development. CEPF recognizes the importance of incentivizing local communities to participate in conservation programs and ensuring that tangible economic benefits that can be sustained into the long term. CEPF will support local communities in and around priority corridors to conceive, develop and implement ecologically sustainable and economically viable livelihood projects. Particular attention will be paid to scaling up ecotourism, sustainable agriculture and fisheries initiatives to play a meaningful role in threat amelioration, and the use of payment for ecosystem services schemes. For example, CEPF may support the development of conservation-based enterprises that show promise of generating environmentally sustainable sources of income for communities that otherwise could be agents of environmental degradation, such as nature-based tourism, conservation coffee and cacao, and sustainable fisheries. Identification and sharing of best practices for the development and scaling up of sustainable livelihoods initiatives will also be eligible for support, as will promotion of greater collaboration in vital areas, such as marketing.

Projects supported under this investment priority will be expected to demonstrate direct, tangible benefits for biodiversity and communities, and ensure there are mechanisms in place for ongoing income generation and long-term sustainability. Co-funding and leveraging additional resources will be strongly encouraged. Projects that take advantage of knowledge generated through the Satoyama Initiative and that produce case studies suitable for sharing through the International Partnership for the Satoyama Initiative will be particularly encouraged.

***Investment Priority 2.3 Promote the adoption and scaling up of conservation best practices in those enterprises compatible with conservation to promote connectivity and ecosystem services in the corridors***

CEPF will support civil society partners that work directly with those strategic companies and industries and their associations that have a presence in the priority corridors and that are committed to developing and fulfilling guidelines, standards, and policies that include biodiversity objectives. Areas of focus may include agriculture, farming, forestry and tourism. CEPF will fund efforts to raise awareness and understanding of corporate leaders and technical staff of effective approaches to incorporating biodiversity conservation considerations and opportunities. Facilitating dialogue, disseminating successful approaches and best practices, and helping to operationalize improved environmental practices will also be eligible for support, as will provision of technical assistance to integrate biodiversity conservation into business and production practices, strategies and policies.

**Strategic Direction 3. Safeguard priority Critically Endangered and Endangered species**

In the Caribbean islands context, effective management at the site level is the most important strategy to conserve species. However, some Critically Endangered and Endangered species (and species groups) require targeted assistance to ensure their long-term survival. The Caribbean is one of the top five hotspots in terms of endemic species, accounting for 2.6 percent of the world's 300,000 plant species and 3.5 percent of the world's 27,000 vertebrates.

The national consultations identified a need for a species-specific strategic direction, in recognition of the limited funding availability for species conservation in the hotspot. Species conservation is hampered by the poor data quality. Baseline data are often outdated or non-existent, and, where data do exist, they are sometimes located in databases not readily available to conservationists and protected area managers. The development and implementation of species conservation plans will require collaboration and information sharing among CSOs, scientists and government institutions, and coordination through formal or informal networks.

CEPF will target funding for conservation planning and action for single-island endemic species that are listed on the IUCN Global Red List as Critically Endangered or Endangered, and occur in one of 43 priority sites. This strategic direction will be implemented through three investment priorities focused on formulating and implementing targeted action plans, addressing the threat of climate change, and filling important information and capacity gaps. CEPF strongly encourages grantees supported under this strategic direction to leverage additional financing.

***Investment Priority 3.1 Prepare and implement conservation action plans for priority Critically Endangered and Endangered species***

Under this investment priority, CEPF will support preparation and implementation of species conservation action plans for priority species. CEPF will fund conservation action plans for individual species, as well as for families with a high proportion of Critically Endangered and Endangered species, such as in the case of amphibians. Priority will be given to conservation action plans that have been developed as part of an overall management strategy for an area. Strong emphasis will be placed on leveraging additional funding.

***Investment Priority 3.2 Identify climate impacts and develop and implement management plans in response to climate change impacts on priority Critically Endangered and Endangered species***

Climate change is having impacts at the species level but, as participants in the ecosystem profiling consultations highlighted, their conservation efforts are challenged by an incomplete understanding of the

full scope of how a changing climate is affecting species. Under this investment priority, CEPF will support efforts by conservation planners to address the challenges faced by species in the context of a rapidly changing climate. Priority will be given to initiatives that are being implemented in the context of a broader management strategy. This investment priority will facilitate updating and retrofitting existing species management plans and programs, so that they integrate climate change responses.

***Investment Priority 3.3 Support assessment of high priority plant families to update the IUCN Red List and develop conservation action plans***

The hotspot is rich in plant species. Plants are one of the most diverse higher taxa in the region, with close to 11,000 species, of which about 8,000 are endemic (this figure is greater than all of the hotspot's vertebrates combined). However, only around 10 percent of the plant species have been assessed at the global level against the IUCN Red List Categories and Criteria. Understanding the level of threat to plant species is critical for ensuring the long-term conservation of Caribbean biodiversity. Such a task is, however, beyond the anticipated budget of the new phase of CEPF investment. Hence, the investment strategy identifies seven plant families for CEPF support, based on their elevated level of endemism and suspected high level of threat: Cactaceae (cacti); Magnoliaceae (magnolias); Melastomataceae (melastomes); Orchidaceae (orchids); Palmae (palms); Cupressaceae (cypresses); and Pinaceae (pines). This investment priority targets these families.

CEPF will support collection of existing information relevant to the conservation status of the island endemic species within these families, expert assessments, preparation of global Red List assessments, and conservation action plans with recommended conservation measures at the level of family. Due to resource limitations, CEPF will expect co-funding and will not provide funding to implement conservation action plans.

**Strategic Direction 4. Improve the enabling conditions for biodiversity conservation in countries with priority sites**

Complex social, political, cultural and economic interactions and conditions combine to influence conservation management interventions and results in the hotspot. These can impede or facilitate conservation; indeed, the absence of an enabling environment can accelerate biodiversity loss. In addition to sound data-driven conservation actions, it is important to take actions simultaneously to improve the enabling environment for conservation. These include ensuring that:

- i. The policy framework and institutional conditions support conservation and human well-being.
- ii. Decision making about the use and management of natural resources is fair, accountable and transparent.
- iii. People have the knowledge and skills to participate in debates about conservation and natural resource use and make informed decisions.
- iv. A strong constituency for conservation action exists, not only at the local level but also among wider social and policy audiences, in order to champion conservation action.
- v. There are sources of sustainable funding to carry out conservation priorities.

Stakeholders consulted during the ecosystem profiling highlighted the need to overcome critical barriers to conservation, including gaps in national policy frameworks, and weaknesses in governance processes. They also emphasized the importance of engendering knowledge and awareness among communities and



other stakeholders, given the strong links between community/stakeholder benefit and buy-in, and effective management outcomes.

Strategic Direction 4 will support civil society efforts to play an effective role in monitoring and shaping policy, governance and decision-making processes. CEPF will also support efforts to build informed constituencies for conservation. Activities supported under this strategic direction will have a demonstrable link to conservation targets in priority KBAs.

***Investment Priority 4.1 Support the role of civil society organizations in policy dialogue and advocacy focused on government policies and practices that impact priority sites***

Two of the important roles of civil society in biodiversity conservation are advising policy- and decision-makers on the needs and priorities of local people and influencing policy frameworks and policy development processes. Through this investment priority, CEPF will support efforts to increase civil society capacity to engage in conservation-related decision-making processes and policy dialogue, including through policy analysis. CEPF will also support efforts to strengthen protected area governance through the participation of local communities and user groups in management decision-making processes.

***Investment Priority 4.2 Mainstream biodiversity conservation and ecosystem service values into development policies, projects, and plans by government and the private sector, with a focus on addressing major threats, such as unsustainable agriculture, mining, tourism and infrastructure development***

CEPF will continue to support CSOs to mainstream biodiversity conservation and ecosystem service values into regional and national policies and programs, and private sector plans, to promote a development path that is compatible with conservation. Grants will promote favorable policy frameworks, where civil society can make the most difference and where the needs are the greatest in tourism, mining, agricultural development and climate change. Where necessary to ensure a strong analytical basis to achieve this investment priority, CEPF will fund assessments and consultations to identify priorities and opportunities for action, followed by support to develop and implement strategies to strengthen selected policies, projects and plans. Grants will build awareness among decision makers of the substantial and cost-effective benefits that biodiversity conservation and provision of vital ecosystems offer for economic development, human well-being, and climate change mitigation and adaption. Targeted economic analysis will demonstrate the costs and benefits derived from the provision of ecosystem services and the development of ecosystem service markets. The results of these and other relevant initiatives will be used by civil society to inform policy and program development.

As part of its approach to climate change, CEPF will seek to integrate biodiversity conservation and ecosystem service values as essential pillars in national and regional climate change policies and programs.

***Investment Priority 4.3 Establish and strengthen sustainable financing mechanisms***

Financing for protected area management continues to be insufficient, even in countries where national conservation funds are already operational (for example, the Environmental Fund of Jamaica, and Fondo MARENA in the Dominican Republic), because demand for funding exceeds supply. CEPF will continue to support NGO and private sector approaches to secure sustainable financing and create new financing flows through such measures as user fees and payment for ecosystem services. CEPF encourages the use of innovative market-based incentives, like voluntary markets for carbon offsets. CEPF funding cannot be used to capitalize trust funds but can be used to support the creation of enabling conditions for the capitalization of such funds from other sources, as well as for designing sustainable financing mechanisms.

At the site level, CEPF will work with the private sector to help plan and implement demonstration projects for which co-financing is available and where there is potential to scale up initiatives. CEPF will facilitate civil society, communities and landowners to take advantage of opportunities for sustainably sourced products and other initiatives, based on sustainable resource management to benefit biodiversity.

***Investment Priority 4.4 Build stakeholder and constituency support for the conservation of priority sites and priority globally threatened species through communication and information dissemination***

Consultation stakeholders emphasized the importance of putting a greater effort into communication and information dissemination in support of conservation as part of a strategy to build a constituency for conservation among decision-makers, key influencers and opinion shapers, and foster community involvement in conservation action. CEPF will support efforts to develop and implement communication strategies that support KBA management and corridor-level interventions. These strategies may use scientific data and information packaged in print and electronic formats to stimulate conservation action for priority sites and priority globally threatened species among stakeholders. CEPF may also support awareness events and activities, to raise the public profile of sites, species, and issues in ways appropriate to constructive engagement with government planning. This might include media exposure and organizing visits for influential figures.

Projects supported under this investment priority must demonstrate a linkage between communication outputs and conservation outcomes. Preference will be given to communication initiatives that complement other elements of the CEPF investment strategy. Considering the limited impact of many reports and toolkits, whether produced in hard copy or electronic format, CEPF will give particular preference to projects that propose alternative, innovative communication products.

**Strategic Direction 5. Support Caribbean civil society to conserve biodiversity by building local, national and regional institutional capacity and fostering stakeholder collaboration**

Caribbean partners have identified limited civil society capacity and collaboration as obstacles to the achievement of conservation in the Caribbean Islands Hotspot. Many of the Caribbean's environmental and community groups are still often working in relative isolation from each other, with weak networks, due to competition among groups for limited funding, and a project-centered approach to much of their work. Several CSOs are challenged by inadequate funding to support core needs, such as salaries, and administrative and operational expenses. In the smaller islands, CSOs are unable to maintain staff and memberships large enough to retain expertise in needed disciplines. Despite past investment in NGO capacity building in the Caribbean, there are still technical and institutional capacity gaps, suggesting that new approaches are needed. This strategic direction proposes to strengthen Caribbean CSOs towards ensuring that there are sustainable and self-reliant organizations engaged in a range of conservation activities at various levels (regional, national, local). During the initial investment phase, capacity building activities were carried out in parallel to grant implementation, with positive results; this approach will be used during the new phase. CEPF funds will not simply be directed towards selected staff and their capacity needs but, rather, will be geared towards a holistic, institution-wide approach to institutional strengthening that will lead to self-reliance and sustainability. This, in turn, will assist in achievement and sustainability of the other investment priorities in this strategy.

At the start of the investment, CEPF will commission a CSO training needs assessment and capacity building strategy to establish a capacity baseline, guide CEPF-funded training and ensure that training activities that



are supported meet strategic needs that contribute to sustainability. This needs assessment will include a review of the impacts of capacity building activities during the initial CEPF investment phase.

***Investment Priority 5.1 Strengthen CSOs' technical knowledge and skills to implement practical, applied biodiversity conservation actions through short-term training in topics that will advance implementation of projects that support CEPF priorities, based on a CSO training assessment and strategy***

CEPF will focus on building capacity that helps sustain results carried out under the other strategic directions. This will include but not be limited to capacity development in:

- i. Climate change impact assessment.
- ii. Invasive species management.
- iii. Tools and methods for conducting biodiversity assessments and evaluations.
- iv. Practical and replicable techniques for monitoring species, habitats and ecosystems.
- v. Assessment of the impact of management measures.
- vi. Communicating biodiversity values.

Through this investment priority, CEPF will support participation in short-term training courses, exchanges, peer learning and mentorship. Support under this investment priority will dovetail with project implementation and will be provided for activities that are linked to a conservation goal. In keeping with global CEPF policy, support will not include funding for academic studies. At the start of the new phase, CEPF will commission a capacity-building needs assessment and strategy.

***Investment Priority 5.2 Strengthen the administrative, financial, fundraising and project management capacity of civil society partners to implement biodiversity conservation programs and activities***

CEPF will support efforts aimed at strengthening the institutional capacity of those Caribbean conservation organizations that have an important role to play in achieving CEPF's strategic directions, by providing funds for comprehensive institutional-capacity-building packages. These packages will aim to build the institutional and technical capacity required to undertake biodiversity conservation, including technical and financial skills to develop and manage community enterprises. Priority will be given to supporting fundraising and sustainable financing capacity.

***Investment Priority 5.3 Support local, national and regional information exchange, networking, mentorship and coalition building among civil society organizations***

By nature of geography, many Caribbean island states are small and isolated. These islands have small populations, and, consequently, CSOs often have difficulty finding staff with the requisite skills and experience to conduct conservation activities at the appropriate professional level. Furthermore, civil society conservation efforts have lacked robust collaborative and regional approaches, which are imperative given the small and under-capacitated islands in this hotspot. During the initial investment phase, CEPF facilitated peer-to-peer exchanges at the national and regional levels, to support knowledge-sharing and provide a space for genuine relationship building. This investment priority will contribute to strengthened collaboration and coordination of conservation within the hotspot, and engender a true network spirit among participating organizations. CEPF investments will focus on new approaches (e.g., informal and formal networks and alliances, collaborative action and learning, and the use of social media, apps and online technology) to build capacity and cooperation in strategic areas of importance, including tourism and mining development, invasive species, climate change, site-based conservation, and policy and legislation. CEPF funds will support projects that stimulate learning and catalyze conservation action by civil

society actors and will focus on best practices relevant to the Caribbean and the specific barriers and challenges confronting CSOs.

**Strategic Direction 6. Provide strategic leadership and effective coordination of CEPF investment through a Regional Implementation Team**

CEPF will support a Regional Implementation Team (RIT) to convert the plans in the ecosystem profile into a cohesive portfolio of grants that exceeds in impact the sum of its parts. Each RIT will consist of one or more CSOs active in conservation in the region. For example, a team could be a partnership of civil society groups or it could be a lead organization with a formal plan to engage others in overseeing implementation, such as through an inclusive advisory committee.

The RIT will operate in a transparent and open manner, consistent with the CEPF mission and all provisions of the CEPF Operational Manual. Organizations that are members of the RIT will not be eligible to apply for other CEPF grants within the same hotspot. Applications from formal affiliates of those organizations that have an independently operating board of directors will be accepted, subject to additional external review.

***Investment Priority 6.1 Build a broad constituency of civil society groups working across institutional and political boundaries to strengthen the communication capacity of local civil society organizations in support of their mission and to build public awareness on the importance of conservation outcomes***

The RIT will provide strategic leadership and local knowledge to build a broad constituency of civil society groups working across institutional and political boundaries toward achieving the conservation goals described in the ecosystem profile. The team's major functions and specific activities will be based on approved terms of reference. Major functions of the team will be to:

- i. Act as an extension service to assist civil society groups in designing, implementing, and replicating successful conservation activities.
- ii. Review all grant applications and manage external reviews with technical experts and advisory committees.
- iii. Award grants of up to \$50,000 and decide jointly with the CEPF Secretariat on all other applications.
- iv. Lead the monitoring and evaluation of individual projects using standard tools, site visits, and meetings with grantees, and assist the CEPF Secretariat in portfolio-level monitoring and evaluation.
- v. Widely communicate CEPF objectives, opportunities to apply for grants, lessons learned, and results.

### 17.3 Letter of Inquiry (LOI) Template

The below is copied from CEPF's online system, ConservationGrants.

#### LOI Instructions

Welcome to the CEPF Grantee Portal!

CEPF requires that all applicants submit a Letter of Inquiry (LOI) using this online form. Applicants that successfully pass the LOI stage will be invited to submit a full proposal.

A few important notes regarding this portal:

You can navigate through the gray tabs at the top of the screen in any order.

- You must click Save before exiting a tab. Click Save & Next if you are done with one tab and ready to move to the next.
- Avoid using your browser navigation buttons as you may lose your work.
- You may save your work before formal submission and resume editing at a later time.
- Once the LOI has been submitted, you cannot make changes.
- If you have not already, take the eligibility quiz to ensure your proposed project meets CEPF criteria. Note that CEPF does not fund the capitalization of trust funds, the purchase of land, the involuntary resettlement of people, or the removal or alteration of any physical cultural property.
- In responding to the questions, follow the guidance in the call for proposals to which you are applying. Provide supporting documents—such as maps or letters of community support—as uploads, where relevant. Note that CEPF does not fund the capitalization of trust funds, the purchase of land, the involuntary resettlement of people, or the removal or alteration of any physical cultural property.
- If you would like others within your organization to work on parts of the LOI, add those people via the Collaborators tab.

Once all of the tabs of the LOI have been completed, submit the LOI by clicking Review/Submit near the top right corner of the screen. You will receive an automated email once your LOI has been successfully submitted.

Be sure to submit your LOI before the deadline indicated in the call for proposals. Once the deadline has passed, your application will be locked for editing and considered withdrawn.

For more information, refer to the call for proposals.

To start completing your LOI, click Save & Next below.

#### Collaborators

- Use the +Invite New Members button to invite people within your organization to register on the CEPF portal and allow them to view and edit the LOI.
- Use the +Search/Add Members button to search for people within your organization with existing CEPF portal accounts to allow them to view and edit this LOI.

#### About Organization

- Organization Legal Name (Long)
- Short Name/Acronym:
- Total Permanent Staff:
- Organization Type:

- Organization Status:
- Year Organization Established:
- Website:
- Official Email:
- Official Mailing Address:
- Physical Address:
- Project Lead Contact Name:
- Telephone Number:
- Email:
- History and Mission Statement:
- Eligible Recipients of Funds

Non-governmental organizations, community-based organizations, private universities and research institutions, and private companies are eligible to receive CEPF funding. Government agencies and organizations controlled by government agencies are only eligible to receive CEPF funding if they can clearly establish that the enterprise or institution: (i) has a legal personality independent of any government agency or actor; (ii) has the authority to apply for and receive private funds; and (iii) may not assert a claim of sovereign immunity.

Are you eligible to receive CEPF funding based on the above criteria? Yes / No

#### **Basic Project Information**

- Hotspot:
- Project Title:
- Countries:
- Strategic Direction:
- Corridor(s):
- Key Biodiversity Area(s):

#### **Project Concept**

- Duration (Months):
- Project Rationale:
- Project Approach:
- Project Impacts:
- Link to CEPF Investment Strategy:
- Project's Long-term Sustainability:
- Organizational Strengths:

#### **Environmental and Social Screening Questions**

The following questions help CEPF determine if the project triggers any of the Environmental and Social Standards (ESSs). CEPF is required to assess all applications to determine if ESSs are triggered, and if so, whether or not appropriate mitigation measures need to be included in project design and implementation. Selecting “yes” to any of the questions below will not necessarily prevent the project from being funded. For further information regarding CEPF's application of ESSs please refer to this link. If you answer Yes to one or more of the following questions, provide detailed information in the ESS Mitigation Comments field at the bottom of the tab.

- Will the proposed project support any physical construction or building of trails?
- Will the proposed project support any forestry activities?
- Will the proposed project support activities in an area used or inhabited by Indigenous Peoples?

- Will the proposed project involve activities that are likely to have adverse impacts on the local community?
- Will the proposed project result in the strengthened management of a protected area?
- Will the proposed project result in reduced or restricted access to the resources in a protected area?
- Will the proposed project result in the physical resettlement of communities, households or individuals?
- Will the proposed project involve use of herbicides, pesticides, insecticides or any other poison?
- Will the proposed project include any activities that might impact the health or safety of project staff or other people associated with the project?
- Will the proposed project involve the removal or alteration of any tangible cultural heritage (including movable or immovable objects, sites, structures and natural features that have archeological, paleontological, historical, architectural, religious or other cultural significance)?
- If you have answered "yes" to any of the above questions, give details below.

### **Budget**

- Salaries and Benefits Subtotal in US\$:
- Salaries and Benefits Comments:
- Consultancies and Professional Services Subtotal in US\$:
- Consultancies and Professional Services Comments:
- Furniture and Equipment Subtotal in US\$:
- Furniture and Equipment Comments:
- Travel and Special Events Subtotal in US\$:
- Travel and Special Events Comments:
- Other Direct Costs Subtotal in US\$:
- Other Direct Costs Comments:
- Management Support Costs Subtotal in US\$:
- Management Support Costs Comments:
- Subgrants Subtotal in US\$:
- Subgrants Comments:
- Total in US\$:

### **Other Attachments**

You may add one or multiple files, such as a map showing the location of the project. To add a file:

Step 1: Click Choose File

Step 2: Select the file you want to upload

Step 3: Click Upload

## 17.4 Proposal Template

The below is copied from CEPF's online system, ConservationGrants.

### Proposal Instructions

- Congratulations on being invited to submit a full Proposal to CEPF!
- You can navigate through the gray tabs at the top of the screen in any order. Once you begin to populate your Proposal form, be sure to click Save regularly or click Save and Next if you are done with one tab and ready to move to the next tab. You may save your work on the proposal before formal submission and resume editing at a later time. Note that, once the proposal has been submitted, you will no longer be able to edit it.
- In responding to the questions, please follow the guidance provided by CEPF team in order to facilitate the evaluation of your proposal. Provide supporting documents, such as maps or letters of community support, as uploads, where relevant.
- If you want others within your organization to work on parts of the proposal, add those people via the Collaborators tab.
- Once all of the tabs of the proposal have been completed, you may formally submit it by clicking Review/Submit near the top right corner of the screen. You will receive an email notification from the system once your proposal has been successfully submitted.
- For more information, please contact the CEPF Team.
- To start filling in your proposal, click Save & Next below.

### Collaborators

- Use the Invite New Members button to invite people within your organization to register on the CEPF portal and allow them to view and edit the Proposal.
- Use the Search/Add Members button to search for people within your organization with existing CEPF portal accounts to allow them to view and edit this Proposal.

### About Organization

- Complete the following information about your organization. Note that the organization name defaults from your grantee and application portal account. Please contact [grants@cepf.net](mailto:grants@cepf.net) if the organization's name is incorrect.
- Applicant Organization Name from Registration:
  - Organization Legal Name (Long)
    - Enter the legal name of your organization if it exceeds more than 80 characters
  - Short Name/Acronym:
- Total Permanent Staff:
- Organization Type:
  - CEPF defines a "local organization" to be one that is legally registered in a country within the hotspot where the project will be implemented and that has an independent board of directors or other similar type of independent governing structure. Organizations not fulfilling these two criteria are considered international organizations.
- Organization Status:
  - Select the most accurate description of the organization.
- Year Organization Established:
- Website:
- Official Email:
- Mailing Address:

- Official Mailing Address:
- Physical Address: if different from mailing address above.
- Chief Executive Officer (CEO)
- Title:
- Given Name:
- Family Name:
- Country:
- CEO Telephone Number:
- CEO Country Code:
- CEO Email:
- History and Mission Statement:
  - Provide a brief description of your organization's history and mission.
- Ineligible Recipients of Funds
  - Government agencies, and organizations controlled by government agencies, are not eligible to receive CEPF funding. Answer the following questions and upload the relevant documentation to support your answers (if applicable) by clicking Choose File at the bottom of this page.
- Do you represent, or is your organization controlled by, a government agency? Government-owned enterprises or institutions are eligible only if they can answer yes to the following questions. (Submit the relevant documents, if applicable, to support your answers)
  - If your organization is a government-owned enterprise or institution, can it clearly establish that the enterprise or institution has a legal personality independent of any government agency or actor?
  - If your organization is a government-owned enterprise or institution, can it clearly establish that the enterprise or institution has the authority to apply for and receive private funds?
  - If your organization is a government-owned enterprise or institution, can it clearly establish that the enterprise or institution may not assert a claim of sovereign immunity?
- Upload any documents about your organization here.
  - You may add one or multiple files. To add a file:
    - Step 1: Click Choose File.
    - Step 2: Select the file you want to upload
    - Step 3: Click Upload

### Basic Project Information

- Hotspot:
- Project Title:
  - Suggest a project title in English using 10 words or fewer.
- Countries:
  - Select only countries eligible under the current call for proposals.
  - Does the project take place in a protected area?
  - If you answered yes, add the protected area information in the Protected Areas tab.
- Strategic Direction:
  - Enter the single strategic direction this proposal aims to address. Use the exact number (i.e., Strategic Direction 1, Strategic Direction 2, etc.) and wording from the region's ecosystem profile for this region found here [www.cepf.net](http://www.cepf.net).\*
- Corridor(s):

- If your project addresses the conservation of one or more conservation corridors listed in the ecosystem profile, give the name(s) of the corridor(s) here:
- Key Biodiversity Area(s):
  - If your project addresses the conservation of one or more Key Biodiversity Areas (KBAs) listed in the ecosystem profile, give the name(s) of the KBA(s):
  - Select taxonomic group(s)
  - Select any taxonomic groups that are a major focus of the project.
  - Select a habitat.
  - Select the main habitat where the project takes place. To view a list of the habitat types with definitions, examples of alternative habitat terms especially those used in different parts of the world, and guidance notes on using the classification, kindly refer to IUCN Habitat Classification Scheme [here](#)

### Protected Areas

- If the project activities are in one or more protected areas, enter them one by one in this tab.
- To do so, press on the +New and enter your protected area Official Name and press Save.
- If the protected area does not exist in our database, click next below and add it in the Additional Locations tab.

### Additional Locations

If the project will work anywhere that is not a CEPF priority corridor, priority KBA or a Protected Area, use this tab to explain where it will take place.

Note you can add one or more locations in this tab by pressing the +New button for each location. For each location, you may enter the following information:

1. Location Name
2. Description of your project location. Include a link to an appropriate Google Earth map (if possible)
3. Latitude
4. Longitude
5. Precision

After adding all locations, click Next. If you need to edit an existing entry, click on the Edit link in the Action Column next to the record you want to edit. To remove a location, click on the Delete link in the Action Column next to the record you want to delete.

### Project Concept

- Duration (Months)
- Project Start Date - Date has to be the first day of the month. (Format date: MM/DD/YYYY)
- Project Rationale:
  - Describe the conservation need addressed by the project (i.e., key threats and/or important opportunities). Explain what would happen if the project were not implemented.
- Project Approach:
  - How will the project address the problem identified above? Describe the activities the project will implement.



- **Project Impacts:**
  - List the impacts the project will seek to achieve in terms of biodiversity, human well-being, civil society capacity and/or enabling conditions for conservation. Be as specific and quantitative as possible.
- **Link to CEPF Investment Strategy:**
  - Describe how the project advances the goals of the ecosystem profile. Make reference to the strategic directions and investment priorities in the CEPF investment strategy for the hotspot.
- **Project Long-term Sustainability:**
  - Describe how the results of the project will continue or be replicated after CEPF funding ends.
- **Organizational Strengths:**
  - Describe why your organization is best suited to undertake this project (e.g. if it has long-standing efforts in the area).
- **Stakeholder Engagement:**
  - Describe any relevant consultations you have had or partnership agreements you have made with external stakeholders regarding the project.
- **Project Assumptions and Risks:**
- Describe the proposed strategy and actions of the project in response to the conservation need stated above, including a summary of project objectives, components, and key activities (if available at this stage).
- **Social Context:**
  - Describe the broad socio-economic context of the project area. Describe how the project will work in this context and with local communities, if relevant.
  - Upload any additional support documents related to the project concept.
  - You may add one or multiple files. To add a file:
    - Step 1: Click Choose File
    - Step 2: Select the file you want to upload
    - Step 3: Click Upload

## **Components, Deliverables and Activities**

- **Components:**
  - Use the "New Component" button to create one or more components that will be used to structure the project.
- **Deliverables:**
  - Use the "Add Deliverable" button to create specific project deliverables under each component. Deliverables should be tangible outputs that demonstrate that an expected result has been achieved (e.g. reports, maps, government decisions, etc.).
- **Activities:**
  - Use the "Add Activity" button to create time-based activities under each component. Specify the start and end date of each activity. These dates should be within the project term. Activities are actions that your team will take to achieve a deliverable. For example, if your deliverable is a "report," then your activity might be research, consultations, or other work to write the report.

## Review Components

Review components that will be used to structure the project.

## Review Deliverables

Use this tab to review specific project deliverables organized by your components.

## Activities

Review time-based activities that link to your deliverables and components.

## Impacts

- Impacts should include quantitative measures in the statement when possible.
- In order to aggregate the results of CEPF grants at portfolio and global levels, CEPF uses a set of Key Indicators. The proposed project is being considered for support because it contributes to specific Key Indicators. When defining the expected impacts of the project, refer to the list available on the &Key Indicators tab, and ensure that each Key Indicator listed is addressed by at least one project impact.
- To add an impact, press +New.

## Key Indicators (KI)

- In order to aggregate the results of CEPF grants at portfolio and global levels, CEPF uses a set of Key Indicators. The proposed project is being considered for support because it contributes to the following Key Indicators.
- When defining the expected impacts of your project in the Impact tab, refer to this list, and ensure that each Key Indicator below is addressed by at least one project impact.

## Red List Species

- If the project activities are working to protect one or more globally threatened species, add the species from the IUCN Red List Database on this tab.
- To do so, click +New and follow the directions on that page to select the red list species.

## Project Actors

- Indicate who will be responsible for the success of your project. This includes both individual named people or positions as well as organizations, agencies, or community groups.
- Note that Partners and Stakeholders that were entered on the LOI are displayed below. Click the Edit link to provide additional information as required.

## Budget

1. Refer to our budget guidance accessible here for details on how to complete each of the budget line items below.
  2. Press here to download the detailed budget template. Upload the completed template to the "Other Attachments" tab of the proposal (at the top right of the screen). This is a required form.
  3. Please do not click the Generate Budget button, until directed by CEPF. You will be directed to do this once the budget is close to being finalized.
- Once directed to do so by CEPF, ensure your start and end date are populated automatically below. If correct dates are not displayed, please enter this information in the "Project Concept" tab first and return to this tab.

- Once directed to do so by CEPF, press on the blue Generate Budget button. This will generate a column for each calendar year of your project.
- Enter amounts of planned project expenses, in US Dollars (US\$), in each line item as appropriate, using the data from your completed detailed budget upload. If any budget lines are not needed, leave the “0” in the cell. Include in this budget only those items for which CEPF funding will be used. Any co-funding/in-kind may be entered on the “Leveraged Funding” tab of the proposal.
- Enter any comments in the “Comment” box for the relevant budget line item.

<u>Grantee Budget Category</u>	<u>Amount per year</u>	<u>Comments</u>
Salaries and Benefits		
Consultancies and Professional Services		
Furniture and Equipment		
Supplies		
Travel and Special Events		
Occupancy (Office Rent and Utilities)		
Telecommunications		
Postage and Delivery		
Maintenance		
Bank and Insurance Fees		
Management Support Costs		
Subgrants		

### Additional Funding

- Provide details of any additional funding that supported this project.
- Total Amount of Additional Funding (\$USD)
- Provide a breakdown of additional funding:
- Provide a breakdown of additional funding (counterpart funding and in-kind) by source.

### Other Attachments

- Upload the detailed budget that is referenced on the Budget tab of the proposal
  - Step 1: Click Choose File
  - Step 2: Select the file you want to upload
  - Step 3: Click Upload

## 17.5 Application Review Criteria

The following criteria will be used to review Letters of Inquiry:

Reviewer name:

Reviewer organization  
(if applicable):

Review date:

Reviewer category:	<input type="checkbox"/> CEPF Secretariat <input type="checkbox"/> Regional Implementation Team <input type="checkbox"/> Regional Advisory Committee <input type="checkbox"/> Other External Reviewer
--------------------	--

Applicant organization:

Project title:

Project location  
(country/countries):

- |  |                          |   |
|--|--------------------------|---|
| Strategic Direction<br>(highlight answer): | <input type="checkbox"/> | 1. Improve the protection and management of 33 priority sites for long-term sustainability  |
|  | <input type="checkbox"/> | 2. Increase landscape-level connectivity and ecosystem resilience in seven priority corridors   |
|  | <input type="checkbox"/> | 3. Safeguard priority Critically Endangered and Endangered species  |
|  | <input type="checkbox"/> | 4. Improve the enabling conditions for biodiversity conservation in countries with CEPF priority sites  |
|  | <input type="checkbox"/> | 5. Support Caribbean civil society to conserve biodiversity by building local, national and regional institutional capacity and fostering stakeholder collaboration |

Do you have any potential personal or professional conflicts of interest relating to this review?	<input type="checkbox"/> No <input type="checkbox"/> Yes
	If yes, please contact a member of the Regional Implementation Team before proceeding with this review.

**NOTE TO REVIEWERS:** Please complete all scorecard questions by highlighting the assigned score and providing a written justification for your answer. Refer to the Reviewer Guidance Notes for an explanation of the assessment considerations.

## 1. Strategic importance

How well does this project contribute to achieving the priorities of the CEPF Investment Strategy of the Ecosystem Profile? (Please highlight answer)

35	25	15	5	0
Project is of exceptional strategic value	Project is of high strategic value	Project is of moderate strategic value	Project is of low strategic value	Project is of no strategic value

Justification:

## 2. Project approach and methodology

Do you believe that the project approach and methodology are likely to achieve its stated objectives, and (where applicable) contribute strongly to sustainable conservation outcomes? (Please highlight answer)

20	15	10	3	0
Project is extremely well aligned to achieving the results	Project is well aligned to achieving the desired results	Project is likely to achieve the desired results	Project is unlikely to achieve the desired results	Project will not achieve the desired results

Justification:

Is permission required for this grant to proceed?

Yes ☐

No ☐

If yes, what permission is required and from whom?

Is there a risk that the applicant will not obtain the required permission?

Yes ☐

No ☐

### 3. Applicant capacity

Do you believe the applicant has the capacity and experience to implement this project effectively and efficiently, given its scale and complexity? (Please highlight answer)

15	10	7	5	0
Applicant has exceptional capacity to implement the project	Applicant has high capacity to implement the project	Applicant has moderate capacity to implement the project	Applicant has low capacity to implement the project	Applicant does not have the capacity to implement the project

Justification (If relevant, identify possible capacity limitations that need to be strengthened or addressed):

### 4. Potential to strengthen Caribbean civil society capacity

Will the project help to strengthen Caribbean civil society organisations? (Please highlight answer)

10	7	5	2	0
Project has exceptional potential to build the capacity of Caribbean civil society	Project has good potential to build the capacity of Caribbean civil society	Project has satisfactory potential to build the capacity of Caribbean civil society	Project has poor potential to build the capacity of Caribbean civil society	Project has no potential to build the capacity of Caribbean civil society

Justification:

## 5. Sustainability

Does it appear that project results can be sustained beyond the phase of CEPF funding? (Please highlight answer)

10	7	2	0
It is extremely likely that the intervention will continue to deliver benefits for an extended period of time after project completion.	It is likely that the intervention will continue to deliver benefits for an extended period of time after project completion	It is unlikely that the intervention will continue to deliver benefits for an extended period after project completions	It is extremely unlikely that the intervention will continue to deliver benefits for an extended period of time after project completion

Justification:

## 6. Budget

Is the proposed funding request commensurate and reasonable given the project's scale, objectives and likely cost of the work? (Please highlight answer)

10	7	2	0
Funding request is very commensurate and reasonable	Funding request is commensurate and reasonable	Funding request is somewhat commensurate and reasonable	Funding request is not commensurate or reasonable

Justification:

\_\_\_\_ **Total Score of 100**

**Recommendation**

1. Do you recommend that this LOI proceed to the next stage of CEPF's application process? (please highlight answer)

☐

Yes

☐

No

Response:

2. If the applicant should move forward to complete a full proposal based on this LOI, do you recommend any changes or conditions be imposed? If so, what are they?

Response:



3. Do you have any other concerns or information you would like to share about the proposed work?

Response:

**FOR COMPLETION BY CEPF AND RIT STAFF ONLY**

**Environmental and Social Standards**

Which standards is relevant for the project? Check all that apply below.

<input type="checkbox"/>	ESS1: Assessment and Management of Environmental and Social Risks and Impacts
<input type="checkbox"/>	ESS2: Labor and Working Conditions
<input type="checkbox"/>	ESS3: Resource Efficiency and Pollution Prevention and Management
<input type="checkbox"/>	ESS4: Community Health and Safety
<input type="checkbox"/>	ESS5: Land Acquisition, Restrictions on Land Use and Involuntary Resettlement
<input type="checkbox"/>	ESS6: Biodiversity Conservation and Sustainable Management of Living Natural Resources
<input type="checkbox"/>	ESS8: Cultural Heritage
<input type="checkbox"/>	ESS10: Stakeholder Engagement and Information Disclosure

Has the applicant identified all relevant standards in its LOI? ☐ Yes ☐ No

If not, which standards have not been identified by the applicant? \_\_\_\_\_

## 17.6 Financial Questionnaire



### Pre-Award Questionnaire for Conservation International Grant Applicants

Conservation International Foundation ("CI") asks applicants for CI managed grant funds to complete the below questions to determine the grant applicant's ability to:

- Establish and maintain effective internal controls over CI managed funds to reasonably assure that the grant applicant is managing the grant funds in accordance with applicable laws, regulations, and the terms and conditions of the grant agreement.
- Evaluate and monitor compliance with applicable laws, regulations, and the terms and conditions of the grant agreement.
- Take prompt action when instances of noncompliance are identified.

#### Section A: General Information

1. Grant Applicant Organization's Legal Name:   
 (legal name of organization that will sign the  
 Web Address:   
 Address:   
 Telephone:   
 E-mail:

2. Proposed Grant Amount (include currency):  \$  -

3. Proposed Start Date:  \*Format: MM/DD/YYYY  
 Proposed End Date:

4. Is the Grant Applicant legally registered in the country where the proposed project activities will be carried out?  
 Yes ☐  
 No ☐

5. Is the Grant Applicant aware of and in compliance of its obligations under applicable licenses, permits, tax exemptions or certifications (i.e., taxes, labor, safety, etc.) in the country of incorporation and where the project activities will be carried out?  
 Yes ☐  
 No ☐

6. Number of Paid Employees:  
 Full Time:   
 Part Time:

7. Please specify the legal status/classification of your organization:  Select One \*If Other:

8. Please specify the tax status of your organization:  Select One \*If Other:

9. Beginning date of your organization's fiscal (financial) year:   
 Ending date of your organization's fiscal (financial) year:  \*Format: MM/DD/YYYY

10. Total Organizational Budget for most recent fiscal year (Amount & Currency):  
 Revenues (including grants):  \$  -  
 Expenses:  \$  -

11. Does your organization currently have outstanding debts to government or to any other parties?  
 Yes ☐  
 No ☐  
 a. If yes, please explain the nature of occurrence (originating and current date, most recent statement: why incurred, methods on prospects of repayment, if any; any additional relevant information.)

12. Within the previous three years has or is your organization, its key staff, officers or directors currently subject to any investigation or litigation? Have any of your organization's key staff, officers or directors been involved in investigations for improper management of donor funds, such as fraud, collusion, money-laundering, embezzlement, theft, forgery, bribery, falsification or destruction of records?  
 Yes ☐  
 No ☐  
 a. If yes, please explain:

13. 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	US Gov Funds	Start Date	End Date	Name of Project Manager	Name of Financial Officer
			<input type="checkbox"/>				
			<input type="checkbox"/>				
			<input type="checkbox"/>				

14. 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 Grant Amount	Grantor/Donor	US Gov Funds?	Start Date	End Date	Name of Project Manager	Name of Financial Officer
			<input type="checkbox"/>				
			<input type="checkbox"/>				
			<input type="checkbox"/>				

#### 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 your organization's policies, 2) assets are kept safely, and 3) accounting records are complete, accurate and kept on a regular basis.

1. Indicate the internal controls that are in place at your institution, within the office that will have direct oversight of the grant:

	Yes	No	Explanation
A. Is an approved financial and operational policies and procedures manual in place and known by staff?	<input type="checkbox"/>	<input type="checkbox"/>	
B. Are all checks signed only when all the details have been properly filled in (i.e., signatories never sign blank checks)?	<input type="checkbox"/>	<input type="checkbox"/>	
C. Are all transactions initiated and authorized by different individuals?	<input type="checkbox"/>	<input type="checkbox"/>	
D. Are different people responsible for different steps in the procurement process, (e.g., ordering, receiving and paying)?	<input type="checkbox"/>	<input type="checkbox"/>	
E. Are all fixed assets (for example, vehicles, computers, equipment) owned by your organization insured and controlled using a fixed assets register?	<input type="checkbox"/>	<input type="checkbox"/>	

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

	Name	Title
A. Requesting payments		
B. Approving requests for payment		
C. Issuing payments		
D. Preparing project financial reports		
E. Approving project financial reports		
F. Approving procurement		

3. Does your organization have policies that address conflicts of interest?

Yes ☐  
No ☐

a. If yes, please provide a copy.

4. Is there any familial relationship between any of the employees listed above in question #2?

Yes ☐  
No ☐

a. If yes, please explain:

5. 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 ☐

a. If yes, please explain:

6. How frequently does your organization review and reconcile cash reports, cash balances, and bank statements from all operations?

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

a. Who prepares these reports?

Name:  Title:

b. Reviews these reports?

Name:  Title:

#### SECTION C: Accounting & Payroll Systems

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

1. Indicate the accounting practices that are followed at your institution within the office that will have direct oversight of the grant:

	Yes	No	Explanation
A Does your organization have a computerized accounting system? If yes, provide the name in the "Explanation" column.	<input type="checkbox"/>	<input type="checkbox"/>	
B Is every incoming and outgoing payment supported by original invoice or other documentation.	<input type="checkbox"/>	<input type="checkbox"/>	
C Is your accounting system able to identify the receipt and expenditures of funds separately for each funding source? If yes, please explain.	<input type="checkbox"/>	<input type="checkbox"/>	
D Is there is a separate cashbook (or GL account) for each bank and cash account?	<input type="checkbox"/>	<input type="checkbox"/>	
E Does your organization maintain an employment letter or contract which includes the job description and salary information for each employee?	<input type="checkbox"/>	<input type="checkbox"/>	
F Are individual time and effort records, such as timesheets, kept which reflect all hours worked by individual employees, coded by project/donor and approved by the employee's supervisor?  Please note, that in the case of a grant award, the project employees will be required to document time spent on the project activities on a daily basis. If your organization does not use timesheets, a template will be provided.	<input type="checkbox"/>	<input type="checkbox"/>	
G Are statutory deductions (for example, payroll taxes and/or social security) properly made and paid on time for all employees?	<input type="checkbox"/>	<input type="checkbox"/>	

#### 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. Access to the bank account must be limited to authorized individuals. Bank balances should be compared each month with your accounting records. It is very important to keep the cash in a secure safe and have strict controls over cash custody and disbursement.*

1. Indicate the accounting practices that are followed at your institution within the office that will have direct oversight of the grant:

	Yes	No	Explanation
A Does your organization have a bank account in its own name that can receive payments by wire transfer in foreign currency?	<input type="checkbox"/>	<input type="checkbox"/>	
B If required, in case of a grant award, could your organization open a dedicated bank account for the CI grant?	<input type="checkbox"/>	<input type="checkbox"/>	
C Does your organization maintain a register for transactions made from petty cash?	<input type="checkbox"/>	<input type="checkbox"/>	
D Does your organization conduct surprise spot checks of petty cash?	<input type="checkbox"/>	<input type="checkbox"/>	
E Does your organization review and verify petty cash on a regular basis? If yes, how frequently is this done?	<input type="checkbox"/>	<input type="checkbox"/>	
F Is cash kept safely in a locked cashbox or safe, in the custody of one individual?	<input type="checkbox"/>	<input type="checkbox"/>	

2. Are the majority of payments to vendors paid by wire transfer, check or in cash?

Wire transfer ☐  
Check ☐  
Cash ☐

3. Please provide the position/title of the person responsible for safeguarding petty cash:

Name:  Title:

4. Who authorizes the opening and closing of your organization's bank accounts and their signatories?

Name:  Title:

5. Are at least two signatures required to release payment from the bank account?

Yes ☐  
No ☐

a. If yes, please provide the name and titles:

Name:  Title:   
Name:  Title:

b. Are these individuals authorized by the Board of Directors or Trustees?

Yes ☐  
No ☐

c. If no to either of the questions under point 5, please describe the risk mitigation measures in place to ensure appropriate controls on withdrawals from the bank account.

6. If your organization has online banking, who is required to approve changes and grant access to the account?

Name:  Title:   
Name:  Title:

#### 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 ☐

a. If yes, who performs the audit?

Name:

2. How frequently are audits performed?

Yearly ☐  
Every 2 years ☐  
Other ☐

3. When was the last audit performed?

\*Format: MM/DD/YYYY

4. What type of audit is performed?

Select One

5. Do your auditors prepare management letters?

Yes ☐  
No ☐

a. If yes, please provide a copy from the last two years.

#### 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. A sub-grant primarily benefits a grantee by furthering the grantee's own mission, purposes and programs.

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: \$  -

Sub-grantee Name:   
USD Amount: \$  -

Sub-grantee Name:   
USD Amount: \$  -

a. Are you aware of any conflicts of interest with any of the above proposed sub-grantees? If yes, please describe.

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 Pre-Award Questionnaire must be signed and dated by authorized personnel who have either completed or reviewed the form. Misrepresentation of information included in this form will result in rejection of a grant award and may result in immediate termination of all grants awarded by CI.*

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:

Signature	
Name	
Title	
Date	

I certify to the best of my knowledge and belief that the information provided in this questionnaire and the supporting data are correct.

Financial Officer:

Signature	
Name	
Title	
Date	

---

#### ATTACHMENTS

Please attach all of the following documents (where available) and any other information you deem relevant on the subjects listed above:

- ☐ Written policies or manuals: procurement, financial management (accounting and internal controls), personnel (to include timekeeping/activity reports or other personnel time tracking system), and travel policies and procedures
- ☐ Sample timesheet
- ☐ Governing documents (articles of incorporation, charter, bylaws)
- ☐ Current registration certificate/other certificate of authority to do business in country of incorporation and country where grant activities will be conducted
- ☐ Organization chart with supporting documentation for delegation of authority
- ☐ Sub-recipient (grant) Management Policies & Procedures Manual, if applicable under Section F
- ☐ 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)
- ☐ Last two years independent auditor's report and Management Letters (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 (WBBEN for individuals; WBBEN-E for entities; WBBEN-EXP for 501(c)(3) corporations that have letter from IRS granting an exception)

## 17.7 Financial Risk Assessment Worksheet

### Financial Risk Assessment Worksheet Conservation International

#### PART I: Purpose of the Worksheet

This Worksheet develops a ranking for an organization's financial risk. It is meant to evaluate an organization's accounting policies and procedures and grants management experience based upon the organization's responses to the Financial Questionnaire. Upon completion of "The Worksheet" and once the Initial Risk Ranking has been determined, the staff person completing the worksheet should briefly describe the risk mitigation plan for working with the organization (if CI chooses to offer a grant to the organization in question). Several tools and suggestions for risk mitigation strategies are proposed which can serve as a guide.

#### PART II: Basic Information

Name of Organization & VMF:	
CMF # / Opportunity	
Cognizant of Business	
Primary Donor & PMF	
Proposed Grant	\$ -
Proposed Start Date	1/0/1900
Proposed End Date	1/0/1900
Type of Organization	Select One
Screening for new grant or re-screening	
Name of Person Completing	

#### PART III: Organizations with Automatic High Risk Rankings

Grantee Score  
Score Scale

If any question in this section can be answered "Yes" for the organization being assessed, then the organization will automatically be considered high risk. The reviewer may proceed immediately to the risk mitigation section and describe a plan.

<input type="checkbox"/>	Is the grantee a foreign government entity, such as a ministry, agency or parastatal organization, or an individual?	0	61
<input type="checkbox"/>	Has the organization been in business for less than one year at the time of the assessment?	0	61
<input type="checkbox"/>	Would the value of the grant compose 75% or more of the organization's annual budget?	0	61
<input type="checkbox"/>	Are the majority of the payments by the organization to vendors or supplies made in cash?	0	61
<input type="checkbox"/>	Does the organization use a system other than an automated, double-entry accounting software package to record and process financial transactions?	0	61
<input type="checkbox"/>	The applicant organization does not have an approved manual in place that establishes the organization's financial and operational policies and procedures?	0	61
<input type="checkbox"/>	Has the organization received an Audit report with Deficiency or Significant Deficiency in Internal controls in the past three years?	0	61

#### PART IV: Assessment Questions

SECTION A: GENERAL INFORMATION		Reviewer's Observations & Comments
Yes/No?	Please answer yes/no in the box to the left for the following four questions:	
<input type="checkbox"/>	1. Is there a Conflict of Interest identified in the Financial Questionnaire?	
<input type="checkbox"/>	2. Is the applicant legally registered in the country where the proposed activities will be carried out?	
<input type="checkbox"/>	3. Does the applicant have outstanding debts to government or other parties?	
<input type="checkbox"/>	4. Has the applicant been investigated, adjudicated for impropriety related to funds management?	

For each question below select the appropriate answer from the options provided by typing a "1" in the box to the left of the answer. After all questions are answered a Risk Ranking of Low, Medium or High will be determined.

<input type="checkbox"/>	5	How long has the organization been in business?		
<input type="checkbox"/>		Less than one year (Automatic High Risk, per above)	0	61
<input type="checkbox"/>		More than one year, but less than three	0	5
<input type="checkbox"/>		More than three years, but less than 10	0	3
<input type="checkbox"/>		More than 10 years	0	1
<input type="checkbox"/>	6	What is the total dollar value of the proposed grant?		
<input type="checkbox"/>		\$500,000 or more	0	5
<input type="checkbox"/>		\$300,000 to \$499,999	0	4
<input type="checkbox"/>		\$100,000 to \$299,999	0	3
<input type="checkbox"/>		\$20,001 to \$99,999	0	2
<input type="checkbox"/>		\$20,000 or less	0	1
<input type="checkbox"/>	7	How many paid employees does the organization have?		
<input type="checkbox"/>		10 or less	0	5
<input type="checkbox"/>		11 to 50	0	3
<input type="checkbox"/>		51 or more	0	1
<input type="checkbox"/>	8	In any given year, what proportion of the organization's budget (expenses) would this grant represent?		
<input type="checkbox"/>		75% or more (Automatic High Risk, per above)	0	61
<input type="checkbox"/>		51% to 75%	0	10
<input type="checkbox"/>		26% to 50%	0	5
<input type="checkbox"/>		25% or less	0	1
<input type="checkbox"/>	9	Does the organization have recent experience managing restricted funding?		
<input type="checkbox"/>		No	0	5
<input type="checkbox"/>		Yes	0	0
		<b>SECTION B: INTERNAL CONTROLS</b>		<b>Reviewer's Observations &amp;</b>
<input type="checkbox"/>	10	Is there an approved manual in place that establishes the organization's financial and operational policies and procedures?		
<input type="checkbox"/>		No (Automatic High Risk, per above)	0	61
<input type="checkbox"/>		Yes	0	0
<input type="checkbox"/>	11	Does the organization have an established and documented procedure for securing prior approval of financial transactions (sometimes referred to as the delegation of responsibility)?		
<input type="checkbox"/>		No	0	5
<input type="checkbox"/>		Yes	0	0
<input type="checkbox"/>	12	Has the organization established and documented an adequate segregation of duties?		
<input type="checkbox"/>		No	0	10
<input type="checkbox"/>		Yes	0	0
<input type="checkbox"/>	13	Does the organization have a policy that addresses conflicts of interest?		
<input type="checkbox"/>		No	0	10
<input type="checkbox"/>		Yes	0	0
		<b>SECTION C: ACCOUNTING &amp; PAYROLL SYSTEMS</b>		<b>Reviewer's Observations &amp;</b>
<input type="checkbox"/>	14	Does the organization use an automated, double-entry accounting software to record and process financial transactions?		
<input type="checkbox"/>		No (Automatic High Risk, per above)	0	61
<input type="checkbox"/>		Yes	0	0
<input type="checkbox"/>	15	The organization maintains support documentation (invoices, vouchers, timesheets, etc.), for all financial transactions?		
<input type="checkbox"/>		No	0	5
<input type="checkbox"/>		Yes, but circumstances may preclude the safe storage of such	0	3
<input type="checkbox"/>		Yes	0	1
<input type="checkbox"/>	16	Are all payments and receipts properly recorded?		
<input type="checkbox"/>		No	0	10
<input type="checkbox"/>		Yes	0	0
<input type="checkbox"/>	17	Does the organization have controls in place to prevent overspending in total on a grant and by individual budget line?		
<input type="checkbox"/>		No	0	3



<input type="checkbox"/>	Yes	0	0
<input type="checkbox"/>	18 Does the organization have minimum payroll standards in place such as time and effort reporting, approval of time recording and compliance		
<input type="checkbox"/>	No	0	10
<input type="checkbox"/>	Yes	0	0
<b>SECTION D: FUNDS CONTROL</b>		<b>Reviewer's Observations &amp;</b>	
<input type="checkbox"/>	19 Does the applicant have a bank account in its own name?		
<input type="checkbox"/>	Yes	0	0
<input type="checkbox"/>	No, but applicant will be able to open an account for this grant	0	5
<input type="checkbox"/>	No	0	10
<input type="checkbox"/>	20 Are the bank accounts and check signers authorized by the Board of Directors or Trustees and are two signatures required on the bank		
<input type="checkbox"/>	Yes	0	0
<input type="checkbox"/>	Yes, but the signatories include staff responsible for issuing/writing	0	5
<input type="checkbox"/>	No	0	10
<input type="checkbox"/>	21 Are the majority of the payments by the organization to vendors or		
<input type="checkbox"/>	Yes (Automatic High Risk, per above)	0	61
<input type="checkbox"/>	No	0	0
<input type="checkbox"/>	22 Does the organization have a functioning, adequate petty cash system?		
<input type="checkbox"/>	Yes	0	0
<input type="checkbox"/>	Yes, but lacks adequate oversight or controls	0	8
<input type="checkbox"/>	No	0	10
<b>SECTION E: AUDIT</b>		<b>Reviewer's Observations &amp;</b>	
<input type="checkbox"/>	23 Has the organization been audited in the last three years by an		
<input type="checkbox"/>	No, the organization has not been audited in the last three years, or has not provided evidence of any audit that has been reported	0	10
<input type="checkbox"/>	Yes, the organization has completed a project audit by an external evaluator but has not completed audits of its financial statements	0	5
<input type="checkbox"/>	Yes, the organization has completed one or more audits of its financial statements using International auditing standards by an	0	3
<input type="checkbox"/>	Yes, the organization has completed annual audits of its financial statements using International auditing standards by an independent	0	1
<input type="checkbox"/>	Yes, the organization has completed an 2CFR200 audit conducted by an independent auditor and has completed annual audits of its financial	0	0
<input type="checkbox"/>	24 If the organization has been audited, were any material findings		
<input type="checkbox"/>	Yes (please describe the findings in Part V)	0	5
<input type="checkbox"/>	No	0	0
<input type="checkbox"/>	25 Has the organization received qualified, adverse or disclaimer opinion with respect to audited financials in the past two years		
<input type="checkbox"/>	Yes	0	10
<input type="checkbox"/>	No	0	0
<input type="checkbox"/>	26 Has the organization ever received a Deficiency or Significant Deficiency in internal controls in the past three years?		
<input type="checkbox"/>	Yes (Automatic High Risk, per above)	0	61
<input type="checkbox"/>	No	0	0
<input type="checkbox"/>	27 Has the organization ever received a grant from CI and been subject to review of its financial management by CI staff through a desk review		
<input type="checkbox"/>	Yes, and the risk ranking was increased based on the outcomes of the	0	5
<input type="checkbox"/>	Yes, and the risk ranking was confirmed HIGH by the outcomes of the	0	3
<input type="checkbox"/>	Yes, and the risk ranking was confirmed MEDIUM OR LOW or reduced based on the outcome of the review	0	0
<input type="checkbox"/>	No, the organization has never been subject to a review	0	0
<b>SECTION F: SUB-GRANTEE POLICY (complete only if sub-grants are</b>		<b>Reviewer's Observations &amp;</b>	
<input type="checkbox"/>	28 What percentage of the award is expected to be sub-granted to other		
<input type="checkbox"/>	51% or more	0	10
<input type="checkbox"/>	26% to 50%	0	5
<input type="checkbox"/>	1% to 25%	0	3
<input type="checkbox"/>	0%	0	0
<input type="checkbox"/>	29 Does the organization have experience managing sub-grants and a documented sub-grants policy?		
<input type="checkbox"/>	No	0	5

<input type="checkbox"/>	Yes	0	0
<input type="checkbox"/>	No	0	5
<input type="checkbox"/>	Yes	0	0
		0	595

#### PART V: Additional Considerations

Based upon the circumstances described, please assign a number to represent the general level of concern that these considerations raise in you. The greater your concern, the larger the number should be.

31	Are there any additional considerations to be incorporated into the assessment, including audit findings per question #24?	Reviewer's Comments
<input type="checkbox"/>	Yes, and these considerations are described in the space below (please assign a numerical value to your level of concern in the space to the right)	
<input type="checkbox"/>	No	0 0

#### PART VI: Financial Risk Summary

32	Total Risk Value, as calculated from the above questions	0	Reviewer's Comments
<input type="checkbox"/>	Value is 51 or greater: Organization is considered HIGH risk		
<input type="checkbox"/>	Value is 31 to 50: Organization is considered MEDIUM risk		
<input type="checkbox"/>	Value is 30 or less: Organization is considered LOW risk		

#### REQUIRED RISK MITIGATION MEASURES

ADDITIONAL PRE-AWARD DUE DILIGENCE		Reviewer's Comments
<input type="checkbox"/>	Review operations/finance manuals	
<input type="checkbox"/>	Request applicant clarification on how they process certain types of transactions &	
<input type="checkbox"/>	Review timesheet example	
<input type="checkbox"/>	Explain how applicant will properly document which expenses to charge to CI	
<input type="checkbox"/>	Confirm controls around petty cash if applicable	
<input type="checkbox"/>	Other: (specify)	
GRANT PROPOSAL & BUDGET		Reviewer's Comments
<input type="checkbox"/>	Conditional disbursements	
<input type="checkbox"/>	No advance payments	
<input type="checkbox"/>	Conditional grant award	
<input type="checkbox"/>	Accounting software + associated training paid for by the grant	
<input type="checkbox"/>	Use of CI approved manual accounting templates	
<input type="checkbox"/>	Financial management training for grantee staff	
<input type="checkbox"/>	Hire dedicated finance staff for the grant	
<input type="checkbox"/>	Development of operational policies and procedures	
<input type="checkbox"/>	Board approval of key operational/financial policies	
<input type="checkbox"/>	Peer-to-peer mentoring within the region	
<input type="checkbox"/>	Third party accounting firm to review financial reports/bank recs quarterly	
<input type="checkbox"/>	Other: (specify)	
GRANT REPORTING & MONITORING		Reviewer's Comments
<input type="checkbox"/>	Quarterly financial reports	
<input type="checkbox"/>	Detailed transaction reports	
<input type="checkbox"/>	Transaction testing	
<input type="checkbox"/>	Dedicated bank account	
<input type="checkbox"/>	Bank statements	
<input type="checkbox"/>	Bank reconciliations	
<input type="checkbox"/>	Project audit	
<input type="checkbox"/>	Prior approval of auditor selected for project audit	
<input type="checkbox"/>	Organizational audit	
<input type="checkbox"/>	Site visit	
<input type="checkbox"/>	Desk review	
<input type="checkbox"/>	Other: (specify)	

## 17.8 Security Screening Request Form

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.

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.

Any personal identifiable information provided as part of this Security Screening Request Form will be processed in accordance with applicable data protection laws and regulations. For more information on CI’s privacy practices, please see our privacy notice at <https://www.conservation.org/Pages/privacy.aspx>.

<b>1. Legal Name of Individual or Entity:</b>			
<b>2. Other names/acronyms of the entity:</b>			
<b>3. Is the intended CI Funding Recipient an individual or a sole proprietor?</b> ____ Yes ____ No If Yes, complete questions #5 and #6. If No, complete questions #4 and #5.			
<b>4. Members of the Board of Directors:</b> Provide full names in given name(s)/family name(s) format. Do not include titles or positions. Insert additional rows as necessary. <b>Example:</b> <span style="border: 1px solid black; padding: 2px;">Juan Alberto Sanchez Perez</span>			
<b>5. Staff members responsible for organizational management, project oversight, accounting and banking:</b> Provide full names, in given name(s)/family name(s) format. If the entity 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)	

**6. If the intended CI Funding Recipient is an individual or if the ultimate beneficiary of the CI funds is an individual, please complete the following section.**

Is the intended CI Funding Recipient, any of the intended CI Funding Recipient's close family members, or any recipient of CI funds any of the below? The questions should be answered irrespective of rank (high rank/low rank) or whether the individual is compensated in his/her position as a government official or not, or serves in a full-time or part-time capacity.

- An official or employee of a government entity or any department, agency, or instrumentality thereof?  
\_\_\_\_\_ (Yes or No)
- A political party, party official, or candidate for political office?  
\_\_\_\_\_ (Yes or No)
- An official or employee of a public international organization such as the World Bank Group and the United Nations?  
\_\_\_\_\_ (Yes or No)
- A person acting in an official capacity for or on behalf of any of the above, e.g. members of royal families, officers and employees of state-owned enterprises, close relatives, family members and associates of an official?  
\_\_\_\_\_ (Yes or No)

If the answer is "Yes" to any of the above, please describe to what extent the intended CI Funding Recipient, a close family member of intended CI Funding Recipient, or recipient of CI funds under the proposed agreement is/are in a position to influence official decisions or acts that may have an impact on CI's activities.:

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By signing this Form, the authorized representative of the potential CI Funding Recipient certifies that the information provided herein is true and accurate as of the date of signature. The authorized representative of the potential CI Funding Recipient 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 to constitute grounds to terminate a contract for cause without notice or penalty, notwithstanding any provisions to the contrary in the interpretation of the proposed agreement between CI and the CI Funding Recipient.

Signature: \_\_\_\_\_

Name of Authorized Signatory: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

## 17.9 Grant Agreement Template

Date: **[INSERT DATE SIGNED BY CI AUTHORIZED SIGNATORY]**

**Grant Recipient Name**

**Recipient Address Line 1**

**Recipient Address Line 2**

**Recipient Address Line 3**

Dear \_\_\_\_\_,

**Grant Number: [CONSERVATION GRANTS OPPORTUNITY #]**

**Project Title: [ENTER PROJECT TITLE]**

We are pleased to inform you that Conservation International Foundation (CI) has approved a grant in the amount of up to \$ \_\_\_\_\_ ("Grant Funds") to \_\_\_\_\_ ('Grantee' or 'you').

This Grant Agreement (with all Attachments, the "Agreement"), has been made possible with funding from the Critical Ecosystem Partnership Fund ("CEPF"), with funding provided by the International Bank for Reconstruction and Development ("IBRD", "World Bank" or "Bank") under an arrangement of administration with the Ministry of Finance, Government of Japan, hereinafter collectively referred to as the "Funding Sources". CEPF is administered by CI.

This grant is intended to support the project ("Project") described in your grant proposal and budget, which are attached in Attachment 1, and which we agree is focused only on activities that can be described as charitable, scientific, literary or educational.

We want our partnership to be a strong and open one, so please review the terms following carefully and let us know if you have any questions regarding the Grant Agreement.

Sincerely,

The Conservation International Team

## GRANT AGREEMENT

Grantee				
Project Title				
Grant Number		Grant Amount		
Grant Period	Start Date		End Date	
Grantee Project Director				
CI Project Director				
CI Grant Manager				

### SPECIFIC TERMS

Below are the terms and conditions that apply to the successful performance of your grant. These terms will guide you through the grant payment, reporting and procurement processes specific to your grant.

1. GRANT PERIOD. The grant period ("Grant Period") is specified above and may only be changed by an amendment to this Grant.
  - a. All expenses must be incurred within the Grant Period.
  - b. **[FOR +2MONTHS EXPENSES ELIGIBILITY, DELETE IF NOT APPLICABLE]** All project activities will be completed by End Date. The months of **[ADD MONTHS X through Y]** shall be exclusively for the purpose compiling, submitting, and revising if necessary final reports due to CI per section REPORTING of this Agreement.
2. GRANT AMOUNT
  - a. CI agrees to commit Grant Funds up to the Grant Amount.
  - b. The Grant Amount may only be changed by an amendment to this Grant, based on adjustments to the Project Activities and Project Budget
3. PAYMENT. The Grant Amount will be paid as follows:
  - a. An initial payment of up to **[USE CASH FLOW PROJECTION]** provided the Grant Period has commenced and the Grant Agreement is fully executed and in effect.
  - b. Regular payments thereafter on the basis of an acceptable cash flow projection, indicating cash on hand and anticipated expenses for the upcoming quarter along with acceptable progress reports and financial reports.
  - c. **[IF SEPARATE BANK ACCOUNT IS REQUIRED; DELETE AND RE-NUMBER IF NOT APPLICABLE]** Grantee shall open and maintain a separate bank account for this Project. No disbursements will be made hereunder until the Grantee provides CI with the account opening letter from the bank in a format satisfactory to CI or a bank statement validating the account details.
    - (1) **[IF APPLICABLE]** Bank fees associated with the dedicated bank account incurred prior to the Grant Term will be considered allowable expenses under the grant.
  - d. Final payment of up to 10% on receipt and approval of the Final Project Reports.
4. KEY PERSONNEL.
  - a. Grantee's Key Personnel as listed below are essential to the Grant, therefore this Grant is conditional upon Key Personnel having specific qualifications and experience. Prior to any change in Key Personnel, Grantee will promptly inform CI of the change and identified replacement. Should CI determine that the proposed replacement does not have at least

equal qualifications and experience as the prior incumbent, CI may suspend the grant pending the Grantee identifying an acceptable replacement or may terminate the Grant.

Key Personnel Name	Title

- b. All notices, program requests, and deliverables relating to this Grant shall be addressed to the CI Project Director and Grantee Project Director.

5. **REPORTING.** The Grantee shall submit reporting in accordance with the following schedule and the format provided by CI:

- a. **Progress Reports.** The Grantee shall submit progress reports within thirty (30) days following the end of each reporting period, as detailed below. Progress reports should describe efforts made toward achieving grant objectives and any challenges encountered, and where applicable, compliance with environmental and social standards (ESS).

Semi-annual Schedule	Progress Report Due Date
January 1 – June 30	July 31
July 1 – December 31	January 31 (of the following calendar year)

OR

Semi-annual Schedule	Progress Report Due Date
April 1 – September 30	October 31
October 1 – March 31	April 31

- b. **Financial Reports.** The Grantee shall submit financial reports within thirty (30) days following the end of each reporting period, as detailed below.

Semi-annual Schedule	Report Due Date
January 1 – June 30	July 31
July 1 – December 31	January 31 (of the following calendar year)

OR

Quarterly Schedule	Report Due Date
January 1 – March 31	April 30
April 1 – June 30	July 31
July 1 – September 30	October 31
October 1 – December 31	January 31 (of the following calendar year)

- (1) **[IF RECEIPTS ARE REQUIRED TO BE SUBMITTED; DELETE IF NOT APPLICABLE]** Financial progress reports shall be accompanied by copies of expense support documentation for all transactions submitted to CEPF for the first two quarters of the grant term.
- (2) **[IF DETAILED TRANSACTION REPORTS ARE REQUIRED]** Detailed Transaction Report. Grantee shall provide a quarterly detailed printout of project expenses that accords with the submitted Financial Progress Reports.
- (3) **[IF BANK RECONCILIATIONS AND/OR STATEMENTS ARE REQUIRED TO BE SUBMITTED; DELETE AND RE-NUMBER IF NOT APPLICABLE]** Bank Statement & Reconciliation. Grantee shall submit bank statement



and reconciliations for the separate Project bank account that accords with the Financial Progress Report.

- c. Final Reports. The Grantee shall submit a final Financial Report and a final Progress report within sixty (60) days following the end of the Grant Period.
- d. Annual Audit. [SELECT OPTION 1, OPTION 2 or OPTION 3 IN ACCORDANCE WITH FINANCIAL DUE DILIGENCE OR PER DONOR REQUIREMENT

**[OPTION 1: ORGANIZATIONAL AUDIT]**

- (1) Grantee shall submit to CI copies of its audited annual financial statements and management letter, if available, within one hundred twenty (120) days following the close of grantee's fiscal year.

**[OPTION 2: PROJECT SPECIFIC AUDIT]**

- (1) Grantee shall engage independent auditors, approved by CI, **[IF REQUIRED BY FDD]** to audit on an annual basis expenses incurred and activities carried out in the performance of this Grant.
- (2) Should the audit disclose any instances of noncompliance with this Grant Agreement, including any indication of fraud, abuse or illegal acts, such information shall be included in an audit report ('Audit Report') along with appropriate recommendations and a corrective action plan. Grantee agrees to respond to all questions raised by the auditors in the course of the above-described audit in a timely and satisfactory manner and to reimburse CI for all disallowed expenditures.
- (3) Grantee shall submit the annual Project Audit: **[SPECIFY DUE DATE]** each year.
- (4) Grantee is responsible for ensuring compliance of its sub-grantees and sub-contractors with the audit provisions of this Grant.

**[OPTION 3: NO SPECIFIC AUDIT REQUIREMENT]**

- (1) CI reserves the right to require a project or organizational audit of expenses incurred under this Grant. If CI requests a Project-specific audit, CI will contract and pay for it directly or will authorize the use of Grant Funds for the Grantee to procure.

**6. USE OF FUNDS AND RESOURCES**

- a. The Grantee may use Grant Funds solely for actual, eligible costs incurred in the performance of approved Project activities up to the total Grant Amount. Only expenditures for reasonable, documented costs, either as identified in the Project Budget or approved by CI are allowable. All funds (including any interest thereon), equipment, property and/or any other thing of value provided under this Grant, any credits or refunds received from sub-recipients, sub-contractors, vendors/suppliers under the Project shall be used solely for Project activities.
- b. Grantee may re-allocate up to fifteen percent 15% of the total grant amount among approved budget line items. However, any changes to the indirect costs line item requires CI prior written approval.
- c. All Funds provided under this Grant in U.S. Dollars that are exchanged to local currency must be verifiable, if requested sufficient to demonstrate the legality of such transactions.
- d. Grant Funds (including any interest) shall not be expended for payments that are, or give the appearance of, a conflict of interest. Grantee is responsible for the identification and disclosure of any actual or potential conflicts of interest to CI and shall suggest mitigation measures, for approval by CI. Grantee shall abide by mitigation measures approved by CI.
- e. **[RESERVED ESMP]**
- f. Grantee is responsible for the implementation and monitoring of any safeguard plans or other required mechanisms to address social and environmental safeguard policies, as detailed in the safeguards plan included in the Grantee's proposal as described at <https://www.cepf.net/grants/before-you-apply/safeguards>.

- g. Grantee is responsible for the implementation and monitoring of CI's Code of Ethics. Grievances related to Code of Ethics violations will be addressed in accordance with the grievance mechanism required as an integral part of the [Environmental and Social Safeguards Standards](#).
- h. Grantee may not use funds for any purposes reflected in section 11.
- i. Grantee shall use its best efforts to minimize the financing of any taxes on goods and services, or the importation, manufacture, procurement, or supply thereof. If Grantee is eligible to apply for refunds on taxes paid, Grantee shall do so. All such reimbursements received by Grantee for taxes paid under this Grant shall be used for Project purposes.
- j. Any Funds (including any interest thereon) remaining with Grantee at the termination or expiration of the Grant Period shall be returned to CI and Grantee shall reimburse CI for any disallowed expenditures. CI may take all actions necessary to recover such Grant Funds and disallowed expenditures, at Grantee's expense.
- k. The Grantee shall enter into legally binding, written agreements ('sub-awards' or 'sub-contracts') with Third Party Grant Funds Recipients, reflecting all Funding Terms and Conditions.
- l. Grantee agrees to include language substantially reflecting the terms of this section in all sub-contracts and sub-awards issued under this Grant Agreement.

#### 7. PROJECT MONITORING; RECORD KEEPING AND RECORD ACCESS

- a. Grantee shall segregate Funds received and expenses incurred under this Grant from other sources of funding, including other CI grants. Grantee shall keep all pertinent records, both financial and technical, relating to this Grant for a period of seven (7) years following the termination or expiration of this Grant.
- b. Accounting records shall trace back to and be documented by source documentation. Documentation shall demonstrate that costs are (i) reasonable, allocable, and allowable, (ii) incurred in accordance with all Funding Terms and Conditions, (iii) treated consistently, (iv) and determined in accordance with International Accounting Standards (IAS).
- c. CI regards monitoring of project activities as essential to effective grant making. CI, the Funding Sources, their representatives and assignees, may conduct desk reviews and/or site visits to review project progress and results. CI shall advise grantee of any site visit in reasonable advance.

#### 8. PROCUREMENT OF GOODS AND SERVICES

- a. Grantee shall comply with the Procurement Guidelines Attachment ("Procurement Guidelines").
- b. For all purchases of goods and services in excess of ten thousand U.S. Dollars (US\$10,000) not set forth in the approved Project Budget, Grantee shall submit a written request to the CI Project Director, describing the proposed item, its cost, and the programmatic justification for such purchase. No purchases with unit cost in excess of ten thousand U.S. Dollars (US\$10,000) are authorized without a prior written approval from the CI Project Director.
- c. Title to any equipment and other property purchased with Grant Funds (including any interest thereon) shall be in the name of Grantee until CI provides permanent disposition instructions at the expiration or other termination of this 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 CI 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.
- d. Unless otherwise agreed in writing by CI, if goods and services are funded in full by Grant Funds, they shall be dedicated in priority and in majority to achieve Project objectives.
- e. Grantee agrees to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under this Grant Agreement.

## STANDARD TERMS

**Below are the terms and conditions that are necessary to ensure compliance with applicable laws, donor requirements, and other standard terms. These terms apply to all CI grants.**

9. FUNDER TERMS AND CONDITIONS. Attachment 3 describes the Funder Terms and Conditions applicable to the Grant Agreement and that must be included in all subawards. In the event of any inconsistency between the Specific Terms, Standard Terms and the Funder Terms and Conditions shall be resolved in the following order: Funder Terms and Conditions, Specific Terms and the Standard Terms.
10. OWNERSHIP OF INTELLECTUAL PROPERTY.
  - a. The Parties agree that any non-sensitive results data (exclusive of any personally identifiable information) collected, procured or otherwise developed under this Grant may be made publicly available by CI in accordance with its Data Use Terms and Conditions Attachment or terms compatible and substantially the same as such.
  - b. Any information gathered by Grantee, and creative work developed by Grantee under this Grant, including without limitation any data, datasets, research, knowledge and all written, graphic, audio, visual and any other materials, contributions, applicable work product and production elements contained therein, whether on paper, disk, tape, digital file or any other media (the 'Work'), shall remain the intellectual property of Grantee, provided however that Grantee hereby irrevocably grants to CI, and any funding sources, if applicable, a perpetual, royalty free, non-exclusive right to copy, distribute, publish, use, and prepare derivative works from the Work for any purpose, in any media, and in any territory for uses consistent with CI's charitable mission.
  - c. CI and Grantee acknowledge that in some cases the Work may be developed using Indigenous People's or Traditional Knowledge that is considered a communal asset and that includes information regarding traditional knowledge, practices, cultural expressions, methods, or traditions of a community ("Traditional Knowledge"). Grantee confirms that Traditional Knowledge incorporated into the Work will belong solely and exclusively to the relevant community. Grantee shall ensure it does not claim any ownership rights to nor should it purport to provide any rights to third parties over such Indigenous or Traditional Knowledge, but CI and the Funding Sources may use the Work as licensed to them.
11. COMPLIANCE
  - a. As a recipient of funding from an organization incorporated in the United States, Grantee represents and warrants compliance throughout the Grant Period, with all applicable laws of the Grantee's jurisdiction as well as U.S. anti-corruption laws, economic sanctions, anti-terrorism laws, and anti-money laundering laws, including but not limited to the Foreign Corrupt Practices Act, USA PATRIOT Act, the laws administered by the United States Treasury Department's Office of Foreign Asset Control, Executive Order 13224, as well as sanctions maintained by United Nations, European Union and France, as if such aforementioned laws and regulations directly reached the activities of the Grantee. The Grantee shall not take any action that might cause CI to be in violation of the aforementioned laws and regulations.
  - b. Grantee represents compliance throughout the Grant Period with any local laws that apply in the jurisdiction in which Grantee is operating or carrying out Project related activities, including, but not limited to, anti-bribery laws, employment laws, tax laws, data protection, ethics, protection of indigenous peoples and human subject data research.
  - c. Grantee shall not use any portion of the Grant Funds to participate or intervene in any political campaign, on behalf of, or in opposition to, any candidate for public office; to induce or encourage violations of law or public policy; or to cause any private inurement or improper private benefit to occur.
  - d. Grantee represents that it is authorized to carry out the Project Activities including necessary permits or licenses required in the jurisdiction of Project implementation.
  - e. Grantee shall not directly or indirectly condone, encourage, or tolerate participation, or

engagement in any conduct substantially equivalent to sexual exploitation, sexual abuse, and sexual harassment, as defined in [CI's Policy on Prevention of Sexual Exploitation, Sexual Abuse, and Sexual Harassment](#), nor in a violation of [CI's Child Protection and Safeguarding Policy](#) or [CI's Anti-Trafficking Policy](#).

## 12. PROHIBITED PRACTICES

- a. If CI determines that Grantee has engaged in any Prohibited Practice, as defined on the [Prohibited Practices Policy webpage](#), including but not limited to fraud and corruption in competing for or in executing this Grant Agreement, then CI may suspend payments and terminate this Grant Agreement for cause in accordance with the Termination and Suspension section.
- b. Any amount of the Grant Funds with respect to which an act of fraud or corruption has occurred per CI's determination will be disallowed.

## 13. CODE OF CONDUCT

- a. The Code of Conduct reflects CI's commitment to ethical behavior and decision-making, grounded in CI's core values and mission to protect nature for the benefit of all. The Code of Conduct applies to CI staff, as well as grantees, contractors, suppliers, consultants and their employees (collectively, "Delivery Partners"). The full [Code of Conduct](#) is herein attached.
- b. Delivery Partners are expected to review and adhere to the principles outlined in the Code of Conduct. Delivery Partners may report potential violations of our Code, policies or applicable laws and regulations to the CI Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).
- c. Grievances related to Code of Conduct violations will be addressed in accordance with the grievance mechanism required as an integral part of the Environmental and Social Safeguards Standards ([https://www.conservation.org/docs/default-source/gef-documents/ci-gef-environmental-and-social-management-framework-\(esmf\)-version-06.pdf?sfvrsn=6e521414\\_2](https://www.conservation.org/docs/default-source/gef-documents/ci-gef-environmental-and-social-management-framework-(esmf)-version-06.pdf?sfvrsn=6e521414_2)

## 14. INFORMATION UNDERTAKINGS. Grantee shall inform CI immediately in writing upon becoming aware of any allegations of improper use of Grants funds, including allegations of corrupt, fraudulent, collusive, coercive, or obstructive practices, other Project related grievances and any incidents, accidents or other circumstances that may have a detrimental impact on the Project execution.

## 15. COPIES OF WORK AND PUBLICATIONS; LOGO

- a. 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.
- b. Logos. Grantee agrees not to make any use of the logo or the name of CI, except as expressly authorized in writing.

## 16. TERMINATION AND SUSPENSION

- a. Either party may terminate this Grant for convenience by providing written notice to the other party. Such notice shall become effective thirty (30) days after its receipt.
- b. Following termination for convenience, Grant Funds may be used only for payment of non-cancelable obligations for expenditures identified in the Project Budget, or for which CI's written approval has been obtained. All other expenditures are disallowed.
- c. If project monitoring reveals that the Grantee did not comply with the Grant Agreement, CI may terminate or suspend the Grant, in whole or in part, by giving written notice to Grantee. Such notice shall become effective upon receipt.
- d. On suspension or termination for cause, an official written notice will be sent by CI to Grantee with clear guidance, including on the usage of Grant Funds in alignment with the specific situation.
- e. Within sixty (60) days of the effective date of termination the Grantee will (i) provide to CI all outstanding reports, the Final Project Report and the Final Financial Report as well as any

unexpended Grant Funds, (ii) reimburse CI for any disallowed expenditures, and (iii) return any unspent Grant Funds.

17. AMENDMENTS AND MODIFICATIONS. This Grant Agreement may be amended by either Party at any time. Any amendments or modification will take effect once duly signed by their respective authorized representatives.
18. INDEMNIFICATION. To the extent permitted by law, Grantee agrees to indemnify CI, the Funding Sources, and their respective officers, directors, employees, representative agents, against all losses, costs, damages including but not limited to personal injury (including death) or tangible or real property damage, liabilities, penalties, expenses (including the cost of legal and accounting fees and expenses and costs of investigation and litigation) arising out of Grantee's performance under this Grant, including breach of the Grant Agreement, negligent or willful misconduct or omission by or on behalf of the Grantee in connection with the Grant Agreement.
19. NO LIABILITY
  - a. CI shall not be liable for losses, damages, claims, or other liabilities arising out of or related to Grantee's activities. Grantee assumes the risk for carrying out the Project activities and specifically releases CI from any such losses, damages, claims, or other liabilities, whether direct or indirect, special or consequential.
  - b. CI shall not be liable for any claims for death, bodily injury, disability, damage to property or other hazards that may be suffered by the Grantee's employees, contractors or other third parties working for the Grantee in the execution of the Project or otherwise. Consequently, Grantee shall carry worker's compensation insurance with statutorily required limits, as well as hazard and liability insurance coverage with appropriate limits.
20. RELATIONSHIP OF THE PARTIES. Nothing in this Grant shall be construed to create a relationship between the parties of agency, legally defined partnership, or joint ventures, or to render either party liable for any debts or obligations incurred by the other. Neither party is authorized to make representations on behalf of the other, or to bind the other in any manner whatsoever.
21. COUNTERPARTS, FACSIMILE AND ELECTRONIC SIGNATURES. This Grant Agreement may be executed in counterparts, each of which will be deemed an original and all of which will constitute one and the same instrument. The parties agree that this Agreement may be executed and delivered by electronic signatures (including, without limitation, through DocuSign or AdobeSign) and that the signatures appearing on this Agreement are the same as handwritten signatures for the purposes of validity, enforceability and admissibility.
22. NON-ASSIGNMENT. This Grant shall not be transferred or assigned by Grantee without CI's prior written consent.
23. SEVERABILITY. In the event that any one or more of the provisions in this Grant Agreement shall, for any reason, be held to be invalid, illegal or unenforceable in any respect, such invalidity, illegality or unenforceability shall not affect any other provisions of this Grant.
24. ARBITRATION. It is CI's policy to make every reasonable effort to resolve all issues or disputes that may arise under this Grant fairly by negotiation, if possible. Any dispute arising out of or relating to this Grant, which is not settled by agreement of the parties, shall be settled by binding arbitration, in accordance with the UNCITRAL Arbitration Rules in force at the time of commencement of the arbitration, before a sole arbitrator. The arbitration shall take place in a venue to be decided between the parties.
25. WAIVER. Either party may specifically waive any breach of this Grant by the other party, but no such waiver shall be deemed effective unless in writing, signed by the waiving party, and specifically designating the breach waived.
26. ENTIRE AGREEMENT. This Grant, including Attachments constitutes the entire understanding between the parties with respect to its subject matter, is intended as a complete and exclusive

statement of the terms of their agreement, and supersedes any prior or contemporaneous agreements or understandings relating to the subject matter.

27. **GOVERNING LAW.** This Grant shall be governed by and interpreted in accordance with the laws of the District of Columbia, United States of America.
28. **NOTICES.** Notices to the parties under this Grant shall be deemed to have been sufficiently given either if they are in writing and delivered personally, by First-Class Registered or Certified Mail, by email, or by expedited delivery service, addressed to the person and at the postal or email address set forth below. Either Party may change the person to receive notice or the applicable contact information by providing notice to the other.

If to Conservation International Foundation		If to Grantee	
Name	Olivier Langrand With a copy to General Counsel's Office at gco_general@conservation.org	Name	Grantee Project Director, Grantee Administrative Contact (if applicable)

29. **IN WITNESS WHEREOF**, the duly authorized representatives of the parties have executed this Grant Agreement as of the date indicated below:

Conservation International Foundation		GRANTEE	
Signature		Signature	
Name	Olivier Langrand	Name	
Title	Executive Director, Critical Ecosystem Partnership Fund	Title	
Date		Date	

Recommended order

Attachment 1: Project Proposal and Project Budget

Attachment 2: Procurement of Goods and Services

Attachment 3: Funder Terms and Conditions

Attachment 4: Critical Ecosystem Partnership Fund Credit and Logo Usage Policy

Attachment 5: Data Use Terms and Conditions

**[if applicable:]** Attachment 6: Project Audit Scope

**ATTACHMENT 1**  
**PROJECT PROPOSAL AND BUDGET**



## **ATTACHMENT 2**

### **PROCUREMENT OF GOODS AND SERVICES**

#### **PROCUREMENT POLICIES AND PROCEDURES**

Grantees must ensure a fair, efficient, and a transparent process for procurement of all goods and services. This appendix sets out the principles and requirements for purchases of goods and services under the Grant Agreement from CI. To ensure that value for money is achieved, CI expects grantees to conduct a competitive process for procurement of goods and services. Sole source procurement is allowable only under one of the five circumstances outlined in Section 3.

#### **1. GENERAL PRINCIPLES:**

- a. Procurement of goods and services shall be based on strict ethical principles and shall conform in all cases with CI's policies and standards of conduct. The Grantee shall ensure that all sub-recipients, sub-contractors, and/or members comply with this procurement policy. All sub-recipients and sub-contractors of CI and its Grantees are expected to exercise sound business judgment and prudent administrative practices in conducting procurement activities. Purchases must be necessary, reasonable and ensure the best value for the Grantee. All persons involved in the procurement process are responsible for protecting the integrity of the process and ensuring that all bidders, vendors and service providers are treated on a fair and impartial basis. CI reserves the right to request reimbursement for any contract or purchase that has not been awarded in conformity with the standards defined in this policy.
- b. All purchases of goods and services must be made with a completely impartial selection process based on price, quality, delivery time and place. No employee, officer, or agent of Grantee may participate in the selection, award, or administration of a contract if a real or apparent conflict of interest exists. Such a conflict exists when an employee, any member of his/her immediate family, his/her partner, or an organization which employs or is about to employ any of the aforementioned parties, has a financial or other interest in the firm selected for the award. Employees of the Grantee shall neither solicit nor accept gratuities, favors, or anything of monetary value from providers of goods or services or parties to sub-agreements. Vendors, suppliers or service providers that participate in the development or drafting of a specific term of reference may not be eligible to receive a contract for that work.
- c. Procurement contracts may be rendered only with responsible suppliers who are reputable, well established and are suppliers of the goods and services being purchased in the normal course of business. No award shall be made to a supplier, vendor or service provider who has engaged in corrupt or fraudulent practices in competing for or executing the contract in question.
- d. Grantee shall maintain and ensure its sub-recipients maintain a complete written record of the procurement process with documentation of all assessments and decisions taken during the solicitation, selection and award of the contract for goods or services. Such written record will be subject to review by CI.
- e. Grantee will obtain from CI all prior approvals required in the procurement plan (if applicable) or as otherwise required in the Grant Agreement.
- f. Grantee's suppliers and sub-contractors will be in compliance with all U.S. economic sanctions, anti-terrorism laws, and anti-money laundering laws, including but not limited to the USA



PATRIOT Act, the laws administered by the United States Treasury Department's Office of Foreign Asset Control, Executive Order 13224. Grantee will retain documentation demonstrating such compliance which shall be subject to review by CI as detailed in the Grant.

- g. Procurement principles in this attachment apply to any procurement whether carried out by the Grantee or the Grantee's sub-recipients and sub-contractors.

## 2. PROCUREMENT METHOD AND THRESHOLDS:

- a. Elements of a fair, efficient and transparent process:
  - i. Solicitation and selection processes are free of conflict of interest.
  - ii. Selection criteria are transparent and contract terms fully disclosed at the time of solicitation.
  - iii. All vendors who are invited to submit a quote receive the same information at the same time
  - iv. All vendors and service providers are given adequate and equal time to prepare and submit a quote or proposal
  - v. Grantees should seek the most favorable purchase terms for all purchases of any amount bearing in mind the specific need against quality, quantity and price considerations
  - vi. Grantees should justify their selection of vendor/contractor/consultant for purchases of any amount.
- b. Grantee shall ensure that all sub-recipients, sub-contractors and suppliers must sign the Code of Ethics (Attachment 5 to the Grant Agreement).
- c. The following minimum thresholds apply to purchase of goods and services under this Grant Agreement. If Grantee's standards and procedures foresee stricter thresholds, lower thresholds and stricter procurement methods may also be used.

CI Procurement Thresholds		
Tier	Threshold	Procurement Method
<b>Tier 1</b>	Less than or equal to \$10,000	Tier 1 purchases may be made without obtaining competitive proposals or quotations provided the price is fair and reasonable. To the extent practical, these purchases should be distributed equitably among qualified suppliers in the local area and should not be split to avoid the requirements for competition above the Tier 1 threshold.
<b>Tier 2</b>	\$10,001 – \$50,000	Consulting Services: Obtain a minimum of three proposals or three quotations solicited from qualified suppliers or service providers. Proposals for consulting services are scored using the Bid Comparison Matrix by a minimum of two people.

		Goods, Works & Non-consulting services: Minimum three proposals or three quotations solicited from qualified suppliers or service providers. Quotations for supplies and equipment may be evaluated by the Procurement Officer using the Bid Comparison Matrix.
<b>Tier 3</b>	\$50,001 and up	Free and open competitive procurement that publishes a formal Request for Proposal (RFP). RFPs are widely disseminated and publicly advertised for a minimum of three weeks. A selection panel with a minimum of three people is convened to score and evaluate proposals. Selection is memorialized in a Selection Memo.

### 3. NON-COMPETITIVE (“SOLE SOURCE”) PROCUREMENT :

- a. Sole source selection is allowable if one of the following circumstances below is met.
  - i. **Uniqueness:** when there is only one vendor that can provide the goods or services to meet the recipient’s needs. This may be, for example, because the goods or services are not otherwise available in the accessible marketplace or the goods or services may come from a highly technical or knowledgeable individual or company that specializes in the specific area of expertise, and no other individual or company specializes in the same area.
  - ii. **Competition Results Are Inadequate:** when fewer than three providers responded to recipient’s solicitation and all providers were given a minimum of three weeks to respond. Recipient must demonstrate that a solicitation for bid failed and extension of time for solicitation was not possible.
  - iii. **Continuation of the work:** Recipient may sole source awards for tasks that represent a natural continuation of previous work carried out by providers where lack of continuity of the work by the same provider poses a risk to the product or grant. Contracts awarded under this category must be reviewed annually to ensure that the contract still represents the best value to recipient.
  - iv. **Collaborative project.** Provider is named in recipient’s proposal to CI and CI has expressly approved the provider in the award to the recipient.
  - v. **Unusual or Compelling Urgency:** While expected to be rare and infrequent, there may be occasions when recipient will need goods or services during a time of unusual or compelling urgency. In this case, an emergency or urgent demand may exist and competitive procurement would take too long. Lack of planning does not constitute an urgent situation. Grantee must secure CI’s written approval prior to making purchases or awards on the basis of sole source selection. Failure to obtain such written approval may result in a declaration of cost-disallowance:
    - 1. for all service providers equal or greater than \$10,000 not named in Grantee’s Proposal and Budget and
    - 2. for all purchases of goods equal or greater than \$10,000 identified in Grantee’s Proposal and Budget but could not be procured following the guidance “Procurement Methods” explained in point 2 above, and
    - 3. for all purchases of goods equal or greater than \$10,000 not explicitly identified in Grantee’s Proposal and Budget.

**4. OFFEROR REPRESENTATION OF TRANSPARENCY, INTEGRITY, ENVIRONMENTAL AND SOCIAL RESPONSIBILITY.**

**The Offeror Representation of Transparency, Integrity, Environmental and Social Responsibility must be signed by the Offerors or (Offerors representative) and must be submitted with the proposal to the Grantee.**

All Offerors are expected to exercise the highest standards of conduct in preparing, submitting and if selected, eventually carrying out the specified work in accordance with CI's Code of Conduct. The Code of Conduct reflects CI's commitment to ethical behavior and decision-making, grounded in our core values and our shared mission to protect nature for the benefit of all. The Code of Conduct applies to CI staff, as well as our grantees, contractors, supplies, consultants and their employees (collectively, "Delivery Partners"). The full [Code of Conduct](#) is herein attached.

Delivery Partners are expected to review and adhere to the principles outlined in the Code of Conduct. Delivery Partners may report potential violations of our Code, policies or applicable laws and regulations to the CI Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).

CI relies on the personal integrity, good judgment and common sense of all third parties acting on behalf, or providing services to the organization, to deal with issues not expressly addressed by the Code.

### **ATTACHMENT 3 FUNDER TERMS AND CONDITIONS**

#### **USE OF FUNDS AND RESOURCES**

- a. Grant funds shall not be expended for land acquisition, and no expenditure shall be made for activities resulting in the physical relocation of people.
- b. **LOGO.** Grantee agrees to acknowledge CEPF as detailed in the full Credit and Logo Policy incorporated herein as Attachment 4, in all publications, reports and publicity arising from activities carried out under a CEPF grant. In text credits the full name Critical Ecosystem Partnership Fund shall be used. Use of the CEPF logo must be approved in advance in writing by CEPF. Any use of CEPF donor logos is expressly prohibited.

#### **DONOR/FUNDER SPECIFIC TERMS AND CONDITIONS International Bank for Reconstruction and Development / World Bank**

- Grantee shall ensure that the following are not financed out of Grant Funds: (i) taxes on goods or services or on the import, manufacture, procurement or supply thereof exceeding a total amount of 33% of the amount of the Grant; (ii) land acquisition and activities involving physical reallocation of people; (iii) penalties for late payment; (iv) self-insurance and self-insurance premium; (v) goods intended for a military or paramilitary purpose or for luxury consumption; (vi) alcoholic beverages and tobacco; (vii) gold, pearls, precious and semiprecious stones; (viii) radioactive and associated materials; (ix) goods that, in the opinion of the Bank, are environmentally hazardous; and (x) on account of any payment prohibited by a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations.
- Grantee shall use best efforts to minimize the financing of taxes set out above out of Grant Funds. If despite such efforts, Grantee determines that Grant Funds are required to be used for the payment of such taxes, Grantee shall ensure that no more than the maximum percentage set out above shall be used for the payment of such taxes.
- Grantee shall carry out its obligations under this Agreements with due diligence and efficiency and in accordance with sound technical, economic, financial, managerial, environmental and social standards and practices, including monitoring of any safeguard plans or other required mechanisms to address social and environmental safeguard policies

#### **RECORDS**

Grantee shall prepare and furnish to CI and Funder, as applicable, all relevant records and documents related to the Project or Grantee's operations as the Funder or CI shall reasonably request. Grantee shall enable the Funder as CI, as applicable, to inspect its operations and any relevant records and documents.

#### **ANTI-CORRUPTION GUIDELINES**

Grantee shall comply with paragraph 10 of the World Bank Anti-Corruption Guidelines, a copy of which is attached hereto and incorporated by reference.

#### **INFORMATION UNDERTAKINGS**

Grantee shall notify CI:

- a. Promptly upon becoming aware of them (no later than 48 hours of the Grantee having knowledge), details of any incident or accident related to the implementation of the Project which will have, or is likely to have, a significant adverse impact on the environment, the affected communities, the public or workers, including without limitation any Project-related

fatalities, serious accidents, significant pollution, community unrest caused by the Project or allegations of gender-based violence. The notification shall provide sufficient detail regarding the incident or accident, indicating immediate measures taken or that are planned to be taken to address it, and any information provided by any contractor and supervising entity, as appropriate. Subsequently, as per CI's request, Grantee shall prepare a report on the incident or accident and propose any measures to prevent its recurrence CI reserves the right to request that Grantee adopt additional measures in order to adequately remedy such incident or accident. If no agreement is reached with Grantee for the implementation of such measures or remedies, CI may terminate this Agreement in accordance with Section 15 of this Agreement.

- b. Promptly, details of any decision or event which might affect the organization, completion or operation of the Project.
- c. Upon CI's request, all reports prepared by any sub-grantee or sub-contractor provider and/or Grantee.
- d. Promptly, any further information or documents with respect to the use of Funds that CI or any of the Funding Sources may request.
- e. As soon as possible, and subject to applicable data protection laws and privacy policies, upon CI's request, with any document or information about Grantee that CI may request, to enable it to fulfill its know-your-customer ("KYC") obligations under anti-money-laundering and anti-terrorist regulations, in particular for the purpose of updating its KYC information on Grantee.
- f. In relation to the implementation of the Project, if Grantee has found that a third party is subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organization, or money laundering, any information pertaining to such third party as requested in an ad hoc template to be provided by CI.

**Guidelines on Preventing and Combating Fraud and Corruption in Projects  
Financed by IBRD Loans and IDA Credits and Grants Dated October 15, 2006 and Revised in  
January 2011 and as of July 1, 2016**

**Purpose and General Principles**

1. These Guidelines are designed to prevent and combat Fraud and Corruption (as hereinafter defined) that may occur in connection with the use of proceeds of financing from the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA) during the preparation and/or implementation of projects supported by Investment Project Financing (IPF). They set out the general principles, requirements and sanctions applicable to persons and entities which receive, are responsible for the deposit or transfer of, or take or influence decisions regarding the use of, such proceeds.

2. All persons and entities referred to in paragraph 1 above must observe the highest standard of ethics. Specifically, all such persons and entities must take all appropriate measures to prevent and combat Fraud and Corruption, and refrain from engaging in, Fraud and Corruption in connection with the use of the proceeds of the IBRD or IDA financing.

**Legal Considerations**

3. The Legal Agreement<sup>1</sup> providing for a Loan<sup>2</sup> governs the legal relationships between the Borrower<sup>3</sup> and the Bank<sup>4</sup> with respect to the particular project for which the Loan is made. The responsibility for the implementation of the project<sup>5</sup> under the Legal Agreement, including the use of Loan proceeds, rests with the Borrower. The Bank, for its part, has a fiduciary duty under its Articles of Agreement to “make arrangements to ensure that the proceeds of any loan are used only for the purposes for which the loan was granted, with due attention to considerations of economy and efficiency and without regard to political or other non-economic influences or considerations.”<sup>6</sup> These Guidelines constitute an important element of those arrangements and are made applicable to the preparation and implementation of the project as provided in the Legal Agreement.

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<sup>1</sup> References in these Guidelines to “Legal Agreement” include any Loan Agreement providing for an IBRD loan or Financing Agreement providing for an IDA credit or grant, any Guarantee Agreement providing for a guarantee by the Member Country of such IBRD Loan, any agreement providing for a project preparation advance or Institutional Development Fund (IDF) Grant, Trust Fund Grant or Loan Agreement providing for a recipient-executed trust fund grant or loan in cases where these Guidelines are made applicable to such agreement, and any Project Agreement with a Project Implementing Entity related to any of the above.

<sup>2</sup> References to “Loan” or “Loans” include IBRD IPF loans as well as IDA IPF credits and grants, project preparation advances, IDF grants and recipient-executed trust fund grants or loans for projects to which these Guidelines are made applicable under the agreement providing for such grant and/or loan. These Guidelines do not apply to (i) Program for Results (PforR) financing or (ii) Development Policy Operations (DPOs), unless the Bank agrees with the Borrower on specified purposes for which Loan proceeds may be used, or (iii) IBRD/IDA guarantee operations.

<sup>3</sup> References in these Guidelines to the “Borrower” include the borrower of an IBRD loan or the recipient of an IDA credit or grant or of a trust fund grant or loan. In some cases, an IBRD Loan may be made to an entity other than the Member Country. In such cases, references in these Guidelines to “Borrower” include the Member Country as Guarantor of the Loan, unless the context requires otherwise. In some cases, the project, or a part of the project, is carried out by a Project Implementing Entity with which the Bank has entered into a Project Agreement. In such cases, references in these Guidelines to the “Borrower” include the Project Implementing Entity, as defined in the Legal Agreement.

<sup>4</sup> References in these Guidelines to the “Bank” include both IBRD and IDA, whether acting in their own capacity or as administrator of trust funds financed by other donors.

<sup>5</sup> References in these Guidelines to the “project” means the Project as defined in the Legal Agreement.

<sup>6</sup> IBRD’s Articles of Agreement, Article III, Section 5(b); IDA’s Articles of Agreement, Article V, Section 1(g).

## Scope of Application

4. The following provisions of these Guidelines cover Fraud and Corruption that may occur in connection with the use of Loan proceeds during the preparation and implementation of a project financed, in whole or in part, by the Bank. These Guidelines cover Fraud and Corruption in the direct diversion of Loan proceeds for ineligible expenditures, as well as Fraud and Corruption engaged in for the purpose of influencing any decision as to the use of Loan proceeds. All such Fraud and Corruption is deemed, for purposes of these Guidelines, to occur in connection with the use of Loan proceeds.

5. These Guidelines apply to the Borrower and all other persons or entities which either receive Loan proceeds for their own use (e.g., “end users”), persons or entities such as fiscal agents which are responsible for the deposit or transfer of Loan proceeds (whether or not they are beneficiaries of such proceeds), and persons or entities which take or influence decisions regarding the use of Loan proceeds. All such persons and entities are referred to in these Guidelines as “recipients of Loan proceeds”, whether or not they are in physical possession of such proceeds.<sup>7</sup>

6. These Guidelines apply to the procurement of goods, works, non-consulting services and consulting services financed (in whole or in part) out of the proceeds of a Loan from the Bank. Additional specific requirements relating to Fraud and Corruption in connection with such procurement are set out in Annex IV of the World Bank Procurement Regulations for Borrowers under Investment Project Financing, dated July 1, 2016, as the same may be amended from time to time.

## Definitions of Practices Constituting Fraud and Corruption

7. These Guidelines address the following defined sanctionable practices when engaged in by recipients of Loan proceeds in connection with the use of such proceeds:<sup>8</sup>

- a) A “corrupt practice” is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party.<sup>9</sup>
- b) A “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly<sup>10</sup> misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation.
- c) A “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party.
- d) A “coercive practice” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party.
- e) An “obstructive practice” is (i) deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the

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<sup>7</sup> Certain persons or entities may fall under more than one category identified in paragraph 5 of these Guidelines. A financial intermediary, for example, may receive payment for its services, will transfer funds to end users and will make or influence decisions regarding the use of Loan proceeds.

<sup>8</sup> Unless otherwise specified in the Legal Agreement, whenever these terms are used in the Legal Agreement, including in the applicable General Conditions, they have the meanings set out in paragraph 7 of these Guidelines.

<sup>9</sup> Typical examples of corrupt practice include bribery and “kickbacks”.

<sup>10</sup> To act “knowingly or recklessly”, the fraudulent actor must either know that the information or impression being conveyed is false, or be recklessly indifferent as to whether it is true or false. Mere inaccuracy in such information or impression, committed through simple negligence, is not enough to constitute fraudulent practice.



investigation or from pursuing the investigation, or (ii) acts intended to materially impede the exercise of the Bank's contractual rights of audit or access to information.<sup>11</sup>

8. The above practices, as so defined, are referred to collectively and individually in these Guidelines as "Fraud and Corruption".

### **Borrower Actions to Prevent and Combat Fraud and Corruption in connection with the Use of Loan Proceeds**

9. In furtherance of the above-stated purpose and general principles, the Borrower will:
- a) take all appropriate measures to prevent Fraud and Corruption in connection with the use of Loan proceeds, including (but not limited to) (i) adopting appropriate fiduciary and administrative practices and institutional arrangements to ensure that the proceeds of the Loan are used only for the purposes for which the Loan was granted, and (ii) ensuring that all of its representatives<sup>12</sup> involved with the project, and all recipients of Loan proceeds with which it enters into an agreement related to the Project, receive a copy of these Guidelines and are made aware of its contents;
  - b) immediately report to the Bank any allegations of Fraud and Corruption in connection with the use of Loan proceeds that come to its attention;
  - c) if the Bank determines that any person or entity referred to in (a) above has engaged in Fraud and Corruption in connection with the use of Loan proceeds, take timely and appropriate action, satisfactory to the Bank, to address such practices when they occur;
  - d) include such provisions in its agreements with each recipient of Loan proceeds as the Bank may require to give full effect to these Guidelines, including (but not limited to) provisions (i) requiring such recipient to abide by paragraph 10 below; (ii) requiring such recipient to permit the Bank to inspect all accounts, records and other documents relating to the project required to be maintained pursuant to the Legal Agreement, and to have them audited by, or on behalf of, the Bank; (iii) providing for the early termination or suspension by the Borrower of the agreement if such recipient is declared ineligible by the Bank under paragraph 11 below; and (iv) requiring restitution by such recipient of any amount of the loan with respect to which Fraud and Corruption has occurred;
  - e) cooperate fully with representatives<sup>12</sup> of the Bank in any investigation into allegations of Fraud and Corruption in connection with the use of Loan proceeds; and
  - f) in the event that the Bank declares any recipient of Loan proceeds ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, (i) exercising the Borrower's right to terminate early or suspend the agreement between the Borrower and such recipient and/or (ii) seeking restitution.

### **Other Recipients of Loan Proceeds**

10. In furtherance of the above-stated purpose and general principles, each recipient of Loan proceeds which enters into an agreement with the Borrower (or with another recipient of Loan proceeds) relating to the Project will:

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<sup>11</sup> Such rights include those provided for, *inter alia*, in paragraph 9(d) of these Guidelines.

<sup>12</sup> References in these Guidelines to "representatives" of an entity also include its officials, officers, employees and agents.



- a) carry out its project-related activities in accordance with the above-stated general principles and the provisions of its agreement with the Borrower referred to in paragraph 9(d) above; and include similar provisions in any agreements related to the project into which it may enter with other recipients of Loan proceeds;
- b) immediately report to the Bank any allegations of Fraud and Corruption in connection with the use of Loan proceeds that come to its attention;
- c) cooperate fully with representatives of the Bank in any investigation into allegations of Fraud and Corruption in connection with the use of Loan proceeds;
- d) take all appropriate measures to prevent Fraud and Corruption by its representatives (if any) in connection with the use of Loan proceeds, including (but not limited to): (i) adopting appropriate fiduciary and administrative practices and institutional arrangements to ensure that the proceeds of the Loan are used only for the purposes for which the Loan was granted, and (ii) ensuring that all its representatives receive a copy of these Guidelines and are made aware of its contents;
- e) in the event that any representative of such recipient is declared ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, either removing such representative from all duties and responsibilities in connection with the project or, when requested by the Bank or otherwise appropriate, terminating its contractual relationship with such representative; and
- f) in the event that it has entered into a project-related agreement with another person or entity which is declared ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, (i) exercising its right to terminate early or suspend such agreement, and/or (ii) seeking restitution.

### **Actions by the Bank in Cases of Fraud and Corruption**

11. In furtherance of the above-stated purpose and general principles, the Bank has the right to sanction, in accordance with prevailing World Bank Group sanctions policies and procedures, any individual or entity<sup>13</sup> other than the Member Country<sup>14</sup>, including (but not limited to) declaring such individual or entity ineligible publicly, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract; (ii) to benefit from a Bank-financed contract, financially or otherwise, for example as a sub-contractor; and (iii) to otherwise participate in the preparation or implementation of the project or any other project financed, in whole or in part, by the Bank.

- a) if at any time the Bank determines<sup>15</sup> that such individual or entity has engaged in Fraud and

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<sup>13</sup> As in the case for bidders in the procurement context, the Bank may also sanction individuals and entities which engage in Fraud or Corruption in the course of applying to become a recipient of Loan proceeds (e.g., a bank which provides false documentation so as to qualify as a financial intermediary in a Bank-financed project) irrespective of whether they are successful.

<sup>14</sup> For purposes of these Guidelines, "Member Country" includes officials and employees of the national government or of any of its political or administrative subdivisions, and government owned enterprises and agencies that are not eligible to compete for and be awarded Bank-financed contracts in accordance with paragraph 3.22 of the World Bank Procurement Regulations for IPF Borrowers.

<sup>15</sup> The Bank has established a Sanctions Board, and related procedures, for the purpose of making such determinations. The procedures of the Sanctions Board sets forth the full set of sanctions available to the Bank.

Corruption in connection with the use of Loan proceeds;<sup>16</sup>

- b) if another financier with which the World Bank Group has entered into an agreement for the mutual enforcement of debarment decisions<sup>17</sup> has declared such individual or entity ineligible to receive proceeds of financings made by such financier or otherwise to participate in the preparation or implementation of any project financed in whole or in part by such financier as a result of a determination by such financier that the individual or entity has engaged in Fraud and Corruption in connection with the use of the proceeds of a financing made by such financier; or
- c) if the World Bank Group has found the individual or entity to be a non-responsible vendor on the basis of Fraud and Corruption in connection with World Bank Group corporate procurement.

### **Miscellaneous**

12. The provisions of these Guidelines do not limit any other rights, remedies<sup>18</sup> or obligations of the Bank or the Borrower under the Legal Agreement or any other document to which the Bank and the Borrower are both parties.

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<sup>16</sup> The sanction may, without limitation, also include restitution of any amount of the Loan with respect to which Fraud and Corruption has occurred. The World Bank Group may publish the identity of any individual or entity declared ineligible under paragraph 11 of these Guidelines.

<sup>17</sup> Also sometimes referred to as “cross-debarment.”

<sup>18</sup> The Legal Agreement provides the Bank with certain rights and remedies which it may exercise with respect to the Loan in the event of Fraud and Corruption in connection with the use of Loan proceeds, in the circumstances described therein.

#### ATTACHMENT 4

### CRITICAL ECOSYSTEM PARTNERSHIP FUND CREDIT AND LOGO USAGE POLICY

All publications, reports and publicity materials arising from a Critical Ecosystem Partnership Fund (CEPF) grant shall acknowledge the Critical Ecosystem Partnership Fund.

All Web sites created with CEPF support or publicizing lists of Grantee's donors (including CEPF funding sources) or materials arising from a CEPF grant shall also include a link to the CEPF Web site, [www.cepf.net](http://www.cepf.net).

In text credits and references, the full name shall be used, rather than the acronym.

When the name Critical Ecosystem Partnership Fund is translated, it shall be translated as follows:

- Bahasa: *Dana Kemitraan Ekosistem Kritis*
- Chinese: 关键生态系统合作基金
- French: *Fonds de partenariat pour les écosystèmes critiques*
- Portuguese: *Fundo de Parceria para Ecossistemas Críticos*
- Russian: Фонд сотрудничества для сохранения важнейших экосистем, находящихся в уязвимом состоянии
- Spanish: *Fondo de Alianzas para los Ecosistemas Críticos*

The following description shall also be used:

*CEPF is a joint initiative of l'Agence Française de Développement, Conservation International, the European Union, Fondation Hans Wilsdorf, the Global Environment Facility, the Government of Canada, the Government of Japan and the World Bank. The CEPF Phase II investment (August 2021–July 2027) in the Caribbean Islands Biodiversity Hotspot is financed through the Critical Ecosystem Partnership Fund – Caribbean Hotspot Project of the World Bank, using funds provided by the Government of Japan.*

When the description is translated, it shall be translated as follows:

*French: "CEPF est une initiative conjointe de l'Agence française de développement, de Conservation International, de l'Union européenne, de la Fondation Hans Wilsdorf, du Fonds pour l'environnement mondial, du Gouvernement du Canada, du Gouvernement du Japon et de la Banque mondiale. L'investissement du CEPF Phase II (Aout 2021 – Juillet 2027) dans le Hotspot de Biodiversité des Iles des Caraïbes est financé par le Fonds de Partenariat pour les Ecosystèmes – Projet Hotspot Caribéen de la Banque Mondiale, à l'aide de fonds fournis par le Gouvernement du Japon."*

*Portuguese: "CEPF é uma iniciativa conjunta da Agência Francesa de Desenvolvimento, da Conservação Internacional, da União Europeia, da Fundação Hans Wilsdorf, do Fundo Global para o Meio Ambiente, do Governo do Canadá, do Governo do Japão e do Banco Mundial. O investimento da Fase II do CEPF (Agosto de 2021 a Julho de 2027) no Hotspot de Biodiversidade das Ilhas do Caribe é financiado através do Fundo de Parceria para Ecossistemas Críticos – Projeto Hotspot Caribenho do Banco Mundial, usando fundos fornecidos pelo Governo do Japão"*

*Spanish: "CEPF es una iniciativa conjunta de La Agencia Francesa de Desarrollo, Conservación Internacional, la Unión Europea, la Fundación Hans Wilsdorf, el Fondo para el Medio Ambiente Mundial, el Gobierno de Canadá, el Gobierno de Japón y el Banco Mundial. La inversión de la Fase II del CEPF (agosto de 2021 - julio de 2027) en el Hotspot de*

*Biodiversidad de las Islas del Caribe se financia a través del Proyecto del Hotspot de Biodiversidad del Banco Mundial - Fondo de Alianzas para los Ecosistemas Críticos, utilizando fondos proporcionados por el Gobierno de Japón.”*

In addition, use of the CEPF logo is encouraged on reports, maps or other products that CEPF funding helps produce.

The CEPF logo is available in multiple electronic formats. To request the CEPF logo, please send a request with details of the proposed usage to [cepf@cepf.net](mailto:cepf@cepf.net).

The logos of CEPF’s individual donor partners may not be used under any circumstances by grantees.

Copies of articles, reports, media interviews, or other publications or broadcasts shall be provided to CEPF. Electronic copies of all materials shall also be provided where available so that they may be posted on the CEPF Web site, [www.cepf.net](http://www.cepf.net).

**ATTACHMENT 5**  
**DATA USE TERMS AND CONDITIONS**

Data sets may be reproduced, distributed, or used to produce and distribute derivative works, provided, however, that:

1. the data sets are appropriately attributed to the data set creator/owner as indicated in the metadata,
2. when used in a publication, the publication includes a citation in the format indicated in the metadata,
3. the user informs CI via email at the email address indicated in the meta data about any use of the data sets in a publication or derived work,
4. any digital object identifier ("DOI") included in the data set remains intact,
5. any modification of the original data set is clearly marked as a modification,
6. works substantially derived from the data sets may be reproduced, distributed, or used to produce and distribute derivative works under terms not less restrictive than these data use terms, and
7. any distribution of data sets includes the following disclaimer of warranty: "These data sets are provided "as is" and without any warranty of any kind, either express or implied, whether of title, of accuracy, of non-infringement, of the absence of errors, of fitness for purpose, or otherwise."

## **ATTACHMENT 6 CODE OF ETHICS**

### **1. Scope of Applicability**

The following ethics standards apply to all persons and entities which receive, are responsible for the deposit or transfer of, or take or influence decisions regarding the use of Grant Funds received from CI (jointly referred to as 'Grant Fund Recipients'). Grant Funds Recipients include employees, agents, sub-contractors and sub-recipients of the aforementioned persons and entities.

### **2. Ethics Standards**

Grant Funds Recipients are expected to observe the highest standards of professional and personal ethics in the implementation of projects funded by the CI.

**Any violations of the Code of Ethics should be reported to CI via its Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).**

Grantee shall communicate and advertise the below ethics standards and the availability of the Ethics Hotline for Project related complaints to all Grant Fund Recipients.

Grant Funds Recipients are required to implement, monitor and enforce compliance with a Code of Ethics that substantially reflects the following ethics standards:

#### **Integrity:**

- Act in good faith, responsibly, with due care, competence and diligence and maintain the highest professional standards at all times.
- Comply with Funding Terms and Conditions, internal policies of the Grantee as well as all applicable laws, rules and regulations, domestic and international, in every country where the Grantee does business and where Project related activities are carried out.
- Reflect actual expenses or work performed in expense reports, time sheets, and other records.
- Never engage in any of the following acts: falsification of business documents, theft, embezzlement, diversion of funds, bribery, or fraud.

#### **Transparency:**

- Perform duties, exercise authority and use Grant Funds and assets procured with Grant Funds for Project purposes and never for personal benefit.
- Avoid conflicts of interest and not allow independent judgment to be compromised.
- Not accept gifts or favors from Project vendors/suppliers, sub-recipients or sub-contractors in excess of token gifts.

#### **Accountability:**

- Disclose to CI, at the earliest opportunity, any information they have or become aware of, that may result in a real or perceived conflict of interest or impropriety.
- Exercise responsible stewardship over Grant Funds and assets procured with Grant Funds; spend Funds wisely, in furtherance of the Project.
- Manage programs, activities, staff and operations in a professionally sound manner, with knowledge and wisdom, and with the goal of a successful Project outcome.

Confidentiality:

- Not disclose confidential or sensitive information obtained during the course of the Project

Mutual Respect and Collaboration:

- Assist CI, Project partners and beneficiaries in building the necessary capacity to carry out the Project efficiently and effectively and to manage Funds in a fiscally and operationally prudent manner.

**I hereby acknowledge receipt of CI's Code of Ethics and certify agreement and compliance therewith.**

**ATTACHMENT 7**  
**TERMS OF REFERENCE**  
**PROJECT AUDIT**

**Objective**

The objective of the audit of the audit is to enable the auditor to express an opinion on the financial position of the project based on Funds received and expenditures reported. The audit shall be conducted annually ("Audit Period").

**Scope**

The audit will be conducted in accordance with International Standards on Auditing as published by the International Auditing and Assurance Standards Board of the International Federation of Accountants, with special reference to ISA 800 (Auditor's Report on Special Purpose Audit Engagements) and will include such tests and controls as the auditor considers necessary. The auditor must bear in mind, that for the establishment of the audit opinion, s/he has to carry out a compliance audit and not a normal statutory audit.

The preparation of the financial reports is the responsibility of the Grantee. The financial information has to be established in accordance with consistently applied Accounting Standards and the underlying grant agreement.

The auditor's opinion, established in the audit opinion report, will explicitly state whether:

- a) The payments out of the project funds have been made in accordance with the conditions of the agreement. Where ineligible expenditures are identified, these should be noted separately.
- b) The Funds have been maintained in accordance with the provisions of the agreement. This also comprises interest earned from balances.
- c) Expenditures are supported by relevant and reliable evidence. All supporting documents and records with respect to the statements of expenditures submitted as the basis for cash requests have been made available.
- d) The audited financial reports can be relied upon to support the related cash requests. Clear linkage should exist between the financial reports, the cash requests presented to CI and the accounting records.
- e) Goods and services financed have been procured in accordance with the agreement and the {funding source/donor's rules and regulations}.

**Reports**

The **audit report(s)** should be received by CI no later than three months after the end of the period covered. The audit report(s) will include all aspects specified in the preceding paragraph ("Scope"). In this/these report(s) the auditor shall also provide a schedule showing receipts and disbursements during the Audit Period and the balance of the separate account(s) and all sub-accounts (if any) at the beginning and the end of the Audit Period. In addition, the auditor shall appraise and quantify the consequences of specific deficiencies, if any.

The auditor will in addition prepare a "management letter," in which the auditor will:

- a) give comments and observations on the according records, systems and controls examined during the course of the audit (as far as necessary for the understanding of the financial reports);
- b) identify specific deficiencies and areas of weakness in systems and controls of the Grantee that have come to the auditor's attention, especially with regard to procurement and payments, and make recommendations for their improvement;
- c) report on actions taken by the management of the Grantee to make improvements with respect to deficiencies and areas of weakness reported in the past;
- d) bring to the Grantee's attention any other matter that the auditor considers pertinent.



## 17.10 List of Priority KBAs for the Project

	CEPF Code	Site	Country	Land Area (ha)	Protected Area (ha)	Percentage of KBA protected	CEPF Priority in Phase 1
1.	ATG-5	North East Marine Management Area and Fitches Creek Bay	Antigua and Barbuda	11,115	10,885	98	Yes
2.	ATG-6	Redonda	Antigua and Barbuda	2,130	0	0	No
3.	BHS-2	Andros Blue Holes National Park	Bahamas	13,479	13,479	100	No
4.	BHS-13	Graham's Harbour National Park	Bahamas	2,322	2,322	100	Yes
5.	BHS12	Exuma Cays Land and Sea Park	Bahamas	60,223	58,326	97	No
6.	DMA-1	Morne Diablotin National Park	Dominica	3,347	3,347	100	No
7.	DOM-4	Monumento Natural Cabo Samaná	Dominican Republic	931	931	100	No
8.	DOM-6	Monumento Natural Las Caobas	Dominican Republic	10,565	10,565	100	No
9.	DOM-13	Parque Nacional Dr. Juan Bautista Pérez Rancier (Valle Nuevo)	Dominican Republic	90,915	90,894	100	Yes
10.	DOM-16	Parque Nacional Jaragua	Dominican Republic	156,092	156,089	100	Yes
11.	DOM-18	Parque Nacional Lago Enriquillo e Isla Cabritos	Dominican Republic	40,575	40,575	100	Yes
12.	DOM-20	Parque Nacional Los Haitises	Dominican Republic	63,408	63,408	100	Yes
13.	DOM-23	Parque Nacional Montaña La Humeadora	Dominican Republic	30,646	30,646	100	Yes
14.	DOM-24	Parque Nacional Sierra de Bahoruco	Dominican Republic	109,423	109,423	100	Yes
15.	DOM-25	Parque Nacional Sierra de Neyba	Dominican Republic	18,337	18,337	100	No
16.	DOM-26	Sierra Martín García National Park	Dominican Republic	26,224	26,224	100	No
17.	DOM-32	Refugio de Vida Silvestre Monumento Natural Miguel Domingo Fuerte (Bahoruco Oriental)	Dominican Republic	3,362	3,362	100	Yes
18.	DOM-33	Reserva Biológica Loma Charco Azul	Dominican Republic	17,455	17,455	100	No
19.	DOM-34	Reserva Científica Ébano Verde	Dominican Republic	2,999	2,999	100	Yes
20.	HTI-1	Aire Protégée de Ressources Naturelles Gérées de Baradères-Cayemites	Haiti	87,920	87,920	100	No
21.	HTI-3	Aire Protégée de Ressources Naturelles Gérées des Trois Baies	Haiti	75,500	75,500	100	Yes

	CEPF Code	Site	Country	Land Area (ha)	Protected Area (ha)	Percentage of KBA protected	CEPF Priority in Phase 1
22.	HTI-16	Lac Azuéli – Trou Caiman	Haiti	16,317	147	1	No
23.	HTI-23	Parc National Naturel de Grand Bois	Haiti	372	372	100	Yes
24.	HTI-24	Parc National Naturel Forêt des Pins-Unité 1	Haiti	6,799	6,799	100	Yes
25.	HTI-25	Parc National Naturel La Visite	Haiti	11,455	11,455	100	Yes
26.	HTI-26	Parc National Naturel Macaya	Haiti	13,486	9,938	74	Yes
27.	JAM-2	Blue and John Crow Mountains Protected National Heritage and surroundings	Jamaica	60,497	46,782	77	No
28.	JAM-5	Catadupa	Jamaica	15,785	1,911	12	Yes
29.	JAM-7	Cockpit Country	Jamaica	64,139	25,461	40	Yes
30.	JAM-8	Dolphin Head	Jamaica	5,389	1,043	19	Yes
31.	JAM-13	Litchfield Mountain - Matheson's Run	Jamaica	16,013	5,611	35	Yes
32.	JAM-18	Negril and Surroundings	Jamaica	39,651	22,998	58	No
33.	JAM-20	Peckham Woods	Jamaica	239	67	28	Yes
34.	JAM-22	Portland Bight Protected Area	Jamaica	197,957	197,957	100	Yes
35.	LCA-2	Castries and Dennerly Waterworks Reserve and Marquis	Saint Lucia	7,886	7,886	100	No
36.	LCA-3	Iyanola and Grande Anse, Esperance and Fond D'ors	Saint Lucia	5,154	618	12	Yes
37.	LCA-4	Mandelé Protected Landscape	Saint Lucia	2,561	417	16	Yes
38.	LCA-6	Pointe Sable	Saint Lucia	2,050	1,504	73	Yes
39.	VCT-1	Chatham Bay, Union Island	St. Vincent and the Grenadines	350	0	0	No
40.	VCT-2	Colonaire Forest Reserve	St. Vincent and the Grenadines	1,608	1,608	100	Yes
41.	VCT-3	Cumberland Forest Reserve	St. Vincent and the Grenadines	1,017	1,017	100	Yes
42.	VCT-4	Dalaway (Buccament Watershed)	St. Vincent and the Grenadines	584	584	100	Yes
43.	VCT-8	Richmond Forest Reserve	St. Vincent and the Grenadines	2,991	2,991	100	Yes
<b>Total</b>				<b>1,299,268</b>	<b>1,169,853</b>	<b>90</b>	

## 17.11 List of Priority Corridors

	Corridor Name	Priority Sites	Country	Area (ha)
1	Massif de la Selle – Sierra de Bahoruco – Hoya de Enriquillo Basin Binational Corridor	Monumento Natural Las Caobas; Parc National Naturel Forêt des Pins-Unité 1; Lac Azuei-Trou Caiman; Parc National Naturel La Visite; Parque Nacional Jaragua; Parque Nacional Lago Enriquillo e Isla Cabritos; Parque Nacional Sierra de Bahoruco; Parque Nacional Sierra de Neyba; Refugio de Vida Silvestre Monumento Natural Miguel Domingo Fuerte (Bahoruco Oriental); Reserva Biológica Loma Charco Azul	Haiti, Dominican Republic	885,067
2	Cordillera Central	Parque Nacional Montaña La Humeadora; Parque Nacional Parque Nacional Dr. Juan Bautista Pérez (Valle Nuevo) Reserva Científica Ébano Verde	Dominican Republic	777,604
3	Massif de la Hotte Highlands	Parc National Naturel de Grand Bois; Parc National Naturel Macaya	Haiti	86,100
4	North Coast Forest-Cockpit Country-Black River Great Morass-Central Spinal Forest	Catadupa, Cockpit Country, Litchfield Mountain-Matheson's Run, Peckham Woods	Jamaica	370,405
5	Surrey County Corridor	Blue and John Crow Mountains Protected National Heritage and surroundings	Jamaica	178,196
6	Iyanola - Castries and Dennery Waterworks Reserve and Marquis-Mandele Protected Landscape	Castries and Dennery Waterworks Reserve and Marquis; Iyanola and Grande Anse, Esperance and Fond D'ors; Mandele Protected Landscape	Saint Lucia	31,228
7	Saint Vincent Central Mountain Range	Colonaire Forest Reserve; Cumberland Forest Reserve; Dalaway (Buccament Watershed); Richmond Forest Reserve	Saint Vincent and the Grenadines	16,711

## 17.12 Gender Tracking Tool (GTT)

### INSTRUCTIONS

#### **What is gender?**

Gender refers to the social and cultural attributes of being a man or a woman. It is not the same as sex, which refers to the biological attributes of being a man or a woman. Gender differs across cultures, it is learned, and it changes over time. When we talk about gender, we are talking about both women and men, and not simply just about women.

#### **Why is CEPF interested in gender issues?**

Gender can influence natural resource use, needs, knowledge and priorities. It can also influence power, access, control and ownership over natural resources. Consideration of gender can affect the quality of stakeholder engagement and participation, the quality of social outcomes, and the delivery of benefits to project participants. Additionally, it can affect the sustainability of conservation outcomes. Gender can play an important role in achieving long-term conservation goals and objectives.

#### **Why do we need a Gender Tracking Tool?**

This tracking tool is a self-assessment tool that can be used by an organization to understand if and to what extent gender considerations have been integrated into its program and operations. All information provided in the tracking tool is confidential and will not be shared. It contains scores so that an organization can more easily determine if there is a change in its understanding and integration of gender. CEPF will use the information to determine interest in learning about gender issues, and the topics that would be most useful to include in training sessions.

#### **How often should it be completed?**

The Gender Tracking Tool should be completed twice, at the start of your project (within the first three months) and at the end of your project (together with your project's Final Completion and Impact Report).

#### **Who should complete the Tracking Tool?**

All grantees should complete the Gender Tracking Tool. The Gender Tracking Tool should be completed by a small group of people from your organization, selected to represent the variation in roles and responsibilities that exists within it and, to the extent possible, consisting of both women and men.

#### **How do I complete the form?**

The tool has seven questions. There are 3-4 possible answers for each question. Select the most accurate answer that best describes the situation in your organization. Each answer displays a specific score. If you would like to add comments, please do so in the Notes box. It is imperative that the group gives an answer for all questions.

### Where do I send it?

When completed please send the tracking tool to your Regional Implementation Team.

#### General

##### Basic Information

Name of Organization:

Date of Assessment:

CEPF Grant Number:

Name(s) of Assessment Group

Position within organization

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If an external facilitator helped you with this assessment, please complete the table below

Name(s) of Facilitator(s)

(if any)" Organization

Position

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Question	Criteria	Please tick one answer per question	Score	Comments
1. Does your organization have a written policy that affirms a commitment to gender equality?	There is no policy			
	A statement about gender exists in official documents, but is not formalized into a policy			
	A policy exists but is not implemented			
	A policy exists and is being implemented			
2. Are there people in your organization trained in gender, responsible for gender issues?	No one in the organization is responsible for gender issues			
	One or more persons with little or no training on gender, responsible for gender issues			
	One or more persons with appropriate training and expertise, responsible for gender issues			
3. Have any staff in your organization ever received training on gender issues?	Staff have not received any training on gender			
	Some staff have received introductory training on gender			
	Some staff have received introductory and follow-up training on gender			
	Most staff have received introductory training on gender and some staff have received follow-up training on gender			
4. Is gender analysis built into your program planning procedures?	Gender analysis is not done			
	We have tools to conduct gender analysis but have not used them yet			
	Gender analysis is undertaken during planning for some projects/programs			

	Gender analysis is undertaken during planning for all projects/programs			
5. Do you collect sex-disaggregated data about the people impacted by your projects?	Sex disaggregated data has never been collected			
	Sex disaggregated data are being collected for some projects			
	All projects are required to collect sex-disaggregated data			
	All projects are required to collect sex-disaggregated data and these data are regularly reported in external communications			
6. Does your organization monitor and evaluate how your projects and programs impact men and women differently?	We do not monitor our programs/projects to determine how they impact men and women differently			
	We plan to monitor our programs/projects to determine how they impact men and women differently, but have not started			
	We monitor some programs/projects to determine how they impact men and women differently			
	We monitor all programs/projects to determine how they impact men and women differently			
7. Does your organization allocate financial resources to incorporate gender into its work?	Financial resources are not allocated to incorporate gender into any programs or operations			
	Financial resources to incorporate gender are allocated in some, but not all, programs			
	Financial resources to incorporate gender are allocated in some, but not all, programs and operations			

	Financial resources are allocated to incorporate gender in all aspects of the organization's programs and operations			

TOTAL SCORE:



## 17.13 Civil Society Tracking Tool (CSTT)

### Instructions

Building a civil society constituency for conservation is a specific goal of CEPF. Therefore, CEPF has developed a specific tool to enable monitoring of this goal. The Civil Society Tracking Tool (CSTT) aims to monitor civil society organizations' capacity to effectively plan, implement and evaluate actions for biodiversity conservation. This capacity can be determined by five major factors:

1. the human resources that it has available;
2. the financial resources that it has;
3. its management systems, which ensure that available resources are translated into effective actions;
4. its strategic planning, which ensures that these actions target conservation priorities; and
5. its delivery, which ensures that these actions effect change.

### How should the tracking tool be used?

The CSTT is intended to be applied at the beginning and the end of your grant. The CSTT is a self-assessment tool to be filled by a small group of your organization's staff and/or board members, selected to represent the variation in gender, roles and responsibilities. It may be advisable to use an external facilitator (perhaps one member of the Regional Implementation Team) the first time that the tool is used.

For all questions, the group conducting the assessment is asked to select the statement that best describes the situation within the organization. For statements with multiple conditions (e.g. "The organization has a defined organizational structure with clear lines of authority and responsibility. Job descriptions exist for all staff positions"), the group should only select the statement if all of these conditions are met; otherwise, it should select the previous statement. A note box is provided for each question, to give your group an opportunity to keep track of what justified your choice. Filling in these note boxes is not a requirement but could help you when you complete a subsequent assessment.

### Options to save and resume

Consider that completing the CSTT online may take you about one hour. If you work online and are unable to complete the assessment in one session, the system functionality allows you to save your work and return to it at a later time. To do so, select the Save and Resume option at the top or bottom of the page. You will be prompted to enter your email address and create a password. You will then receive an email with a link to your CSTT so that you can resume. Alternatively, you may find it easier to download the Excel form and work on it offline with your colleagues. You can then transfer the information from Excel to the online form when you are finished. The Excel version of the CSTT, along with other CEPF tracking tools, are available in multiple languages.

Date of this CSTT Assessment

Facilitator(s) (if any)

Organization

Position

Add another facilitator

Assessment Group

Name of Assessor

Position within Organization

Add another assessor

**Save my progress and resume later**

**Resume a previously saved form**

Part 1- Assessment Form (Human Resources)

Indicator	Criteria (tick the applicable ones)		Score	Notes
1. Human Resources				
1.1 Staff Numbers: Which statement best reflects the situation within the organisation?	There are no paid staff.	0		
	Staff numbers are so low that they are a serious impediment to the effective functioning of the organisation.	1		
	Staff numbers are below the level required for effective delivery of the organisation's mission but not so low that they are a serious impediment to the effective functioning of the organisation.	2		
	Staff numbers are sufficient for the effective delivery of the organisation's mission. At least 60 percent of staff are project staff or otherwise on short term contracts.	3		
	Staff numbers are sufficient for the effective delivery of the organisation's mission. Less than 60 percent of staff are project staff or otherwise on short term contracts.	4		
1.2 Staff Experience: How many years of combined experience relevant to their positions do the staff of the organisation have?	Less than 10 years	0		
	10 to 50 years	1		
	51 to 100 years	2		
	101 to 200 years	3		
	More than 200 years	4		
1.3 Staff Skills: Which of the following skills can be demonstrated (in terms of graduate-level qualifications or at least 2 years' practical experience by the organisation's staff)? Note: 0.5 point for each	Ability to manage the implementation of projects.	0.5		
	Ability to manage an organisation.	0.5		
	Ability to set priorities for conservation action.	0.5		
	Ability to conduct a participatory appraisal with local stakeholders.	0.5		
	Ability to conduct biological surveys/ research with conservation applications.	0.5		
	Ability to develop a Geographical Information System (GIS).	0.5		
	Ability to communicate conservation messages.	0.5		
	Ability to advocate changes to public policy.	0.5		

1.4 Human resources development: Which statement best reflects the situation within the organisation?	The organisation has no human resources development strategy, and provides no mentoring or training for staff.	0		
	The organisation has no human resources development strategy, a few staff are provided with some mentoring or training on an opportunistic basis.	1		
	A human development strategy is in place, the organisation provides occasional (at least annual) mentoring or training for most of its staff.	2		
	A human development strategy is in place, the organisation budgets resources for it, and most of its staff receive regular (at least semi-annual) mentoring or training in skill areas relevant to their positions.	3		
	A human development strategy is in place, the organisation budgets resources for it and actively fundraises for them, and all staff receive regular (at least semi-annual) mentoring or training in skill areas relevant to their positions in accordance with annual performance appraisals.	4		
1.5 Volunteers: Which statement best reflects the situation within the organisation?	The organisation does not currently have any volunteers.	0		
	The organisation has one or more volunteers but they do not have clearly defined terms of reference (TORs) or workplans.	1		
	The organisation has one to four volunteers, with clearly defined terms of reference (TORs) or workplans.	2		
	The organisation has at least five volunteers with clearly defined TORs and workplans.	3		
	The organisation has at least five volunteers with clearly defined TORs and workplans, and receiving structured training/ mentoring from other staff.	4		

**Total  
Score:**

Part 2- Assessment Form (Financial Resources)

Indicator	Criteria (tick the applicable ones)		Score	Notes
2. Financial Resources				
2.1 Total financial resources: Which statement best describes the financial resources of the organisation?	The organisation has no secured financial resources.	0		
	Secured financial resources are so low that they are a serious impediment to the effective functioning of the organisation.	1		
	Secured financial resources are below the level required for the effective delivery of the organisation's mission but not so low that they become a serious impediment to the effective functioning of the organisation.	2		
	Secured financial resources are sufficient for the effective delivery of the organisation's mission in the short term (one to three years) but sufficient funding to meet medium-term (three to five years) costs has not been secured.	3		
	Secured financial resources are sufficient for the effective delivery of the organisation's mission in the short term to medium-term (one to five years).	4		
2.2 Diversity of funding sources: Which statement best reflects the situation within the organisation?	All of the organisation's funding comes from a single source.	0		
	The organisation's funding comes from at least two sources but a single source accounts for more than 80%.	1		
	The organisation's funding comes from at least three sources with no one source providing for more than 60%.	2		
	The organisation's funding comes from at least five sources with no one source providing for more than 40%.	3		
	The organisation's funding comes from at least ten sources with no one source providing for more than 20%.	4		

2.3 Fundraising Capacity: Which statement best describes the fundraising capacity of the organisation?	The organisation is unable to prepare projected proposals without significant external assistance.	0		
	The organisation is able to prepare projected proposals with realistic goals and objectives but requires significant external assistance to formulate measurable indicators and develop logical frameworks.	1		
	The organisation is able to prepare projected proposals with realistic goals, objectives and measureable indicators but requires significant external assistance to develop logical frameworks.	2		
	The organisation is able to prepare projected proposals with realistic goals and objectives, measureable indicators and well developed logical frameworks but has limited capacity to respond to tenders.	3		
	The organisation is able to prepare projected proposals with realistic goals and objectives, measurable indicators and well developed logical frameworks, and responded to and won many tenders.	4		
2.4 Sustainability strategy: Which statement best reflects the situation within the organisation?	The organisation has not begun to develop any sustainable financial strategy.	0		
	The organisation has developed or is in the process of developing a sustainable financial strategy but has not taken any steps to implement it.	1		
	The organisation has adopted a sustainable financial strategy and has begun to develop at least one long term financing mechanism (e.g. endowment fund, real estate, commercial enterprise, etc).	2		
	The organisation has adopted a sustainable financial strategy and has developed at least one long term financing mechanism but this mechanism currently accounts for less than 10% of the organisation's annual income.	3		

	The organisation has adopted a sustainable financial strategy and has developed at least one long term financing mechanism which accounts for at least 10% of the organisation's annual income.	4		
2.5 Organisational profile: Which statement best describes the profile of the organisation?	The organisation is little known beyond its direct partners.	0		
	The organisation is little known among civil society organisations in the country/ies where it operates but it has a low profile among the general public, government, donor agencies and the private sector.	1		
	The organisation has regular contact with decision makers in government, donor agencies and the private sector, and has implemented some activities to raise its profile among the general public.	2		
	The organisation is well known among decision makers in government, donor organisations and the private sector, and is often approached by them to collaborate on conservation initiatives or develop proposals for conservation projects, and has a high profile among the general public.	3		
	The organisation is well known among decision makers in government donor organisations and the private sector, and is often approached by them to collaborate on conservation initiatives or develop proposals for conservation projects, and has a high profile among the general public, and has a membership base among private citizens, totalling at least 3,000 members.	4		

**Total  
Score:**

Part 3- Assessment Form  
(Management Systems)

Indicator	Criteria (tick the applicable ones)		Score	Notes
3. Management Systems				
3.1 Organisational Structure: Which statement best reflects the situation within the organisation?	The organisation has no clearly defined organisational structure and lines of authority and responsibility are not clearly defined. No job descriptions exist for the staff.	0		
	The organisation has clearly defined organisational structure but lines of authority remain unclear and authority tends to be exercised by one or a few individuals. Job descriptions exist for some staff positions but these are rarely developed prior to recruitment.	1		
	The organisation has a defined organisational structure with clear lines of authority and responsibility. Job descriptions exist for all staff positions.	2		
	The organisation has a defined organisational structure with clear lines of authority and responsibility. Job descriptions exist for all staff positions, and regularly reviewed and updated during staff appraisals and/or performance reviews. Staff are recruited according to job descriptions.	3		
	The organisation has a defined organisational structure with clear lines of authority and responsibility. Job descriptions exist for all staff positions, and regularly reviewed and updated during staff appraisals and/or performance reviews. Staff are recruited according to job descriptions and following a recruitment policy.	4		
3.2 Administration procedures: Which of the following administration/ personnel management procedures are in place at the organisation and consistently observed by staff? Note: 0.5 point for each.	Mechanism to monitor/ control the use of supplies	0.5		
	Mechanism to monitor/ control the movement of vehicles	0.5		
	Equipment Inventory	0.5		
	Procurement Policy	0.5		
	Leave and public holidays policy	0.5		
	Travel expenses policy	0.5		
	Disciplinary and complaints procedures	0.5		
	Standard operating manual	0.5		



3.3 Financial Management: Which statement best reflects the situation within the organisation?	Records of expenditure are not kept for projects.	0		
	Records of expenditure are kept for projects but the expenses of all individual line items never remain within 20% of the agreed budget.	1		
	Records of expenditure are kept for projects but the expenses of all individual line items remain within 20% of the agreed budget less than half of the time.	2		
	Records of expenditure are kept for projects and the expenses of all individual line items remain within 20% of the agreed budget more than half of the time.	3		
	Records of expenditure are kept for projects and the expenses of all individual line items always remain within 20% of the agreed budget.	4		
3.4 Monitoring and evaluation: Which statement best reflects the situation within the organisation?	The organisation makes no attempt to monitor or evaluate the impact of its projects.	0		
	External evaluations of the organisation's projects are undertaken occasionally, usually at the request of donors.	1		
	The organisation regularly monitors and evaluates the impact of its projects but the results are not systematically used to guide management or design of future projects.	2		
	The organisation systematically monitors and evaluates the impact of its projects and uses the results to guide management and design of future projects. The results of monitoring and evaluation are only disseminated to stakeholders inside the organisation and donors.	3		
	The organisation systematically monitors and evaluates the impact of its projects and uses the results to guide management and design of future projects. The results of monitoring and evaluation are widely disseminated to stakeholders inside and outside of the organisation.	4		

3.5 Financial Reporting: Which statement best reflects the situation within the organisation?	The organisation has no system for preparing financial reports and statements.	0		
	The organisation has a system of preparing financial reports and statements but these are produced sporadically, in response to donor demand. No external audits are conducted.	1		
	The organisation regularly produces financial reports and statements, which it makes available to the board and management, but these are often incomplete and delivered late. External audits are conducted on a periodic basis.	2		
	The organisation regularly produces financial reports and statements, which it makes available to the board and management, and which are always complete and delivered on time. External audits are conducted on an annual basis, and recommendations are implemented.	3		
	The organisation regularly produces financial reports and statements, which it makes available to the board and management, and which are always complete and delivered on time. External audits are conducted on an annual basis, and recommendations are implemented, and an annual financial report is published and made publicly available.	4		

**Total  
Score:**

Part 4- Assessment Form (Strategic Planning)

Indicator	Criteria (tick the applicable ones)		Score	Notes
4. Strategic Planning				
4.1 Governance: Which statement best describes the governance of the organisation?	The organisation has no board or independent body to provide strategic direction and oversight.	0		
	The organisation has a board but there is no clear distinction between its oversight role and the role of management. Board members are selected without regard to the organisation's needs or representation of key sectors.	1		
	The organisation has a board that clearly differentiates between its oversight role and the role of management. The majority board members are drawn from a single sector (academia, NGOs, corporate sector, media, government, etc.).	2		
	The organisation has a board that clearly differentiates between its oversight role and the role of management. The majority board members are drawn from multiple sectors, and are capable of carrying out functions such as fundraising, public relations, financial oversight and advocacy.	3		
	The organisation has a board that clearly differentiates between its oversight role and the role of management. The board members are drawn from multiple sectors, and are capable of carrying out functions such as fundraising, public relations, financial oversight and advocacy. Committees have been formed to address specific issues such as campaigns, fundraising, financial sustainability, etc.	4		

4.2 Mission Statement: Which statement best describes the mission of the organisation?	The organisation has no mission statement.	0		
	The organisation has a mission statement but it is imprecise or too board, and does not provide clear direction for the organisation.	1		
	The organisation has a mission statement that clearly expresses the central purpose of the organisation. However, most staff are unable to readily articulates the mission statement, and the outsiders do not readily identify it with the organisation.	2		
	The organisation has a mission statement that clearly expresses the central purpose of the organisation. Most staff are able to readily articulate the mission statement but the outsiders do not necessarily identify it with the organisation.	3		
	The organisation has a mission statement that clearly expresses the central purpose of the organisation. All staff are able to readily articulate the mission statement, which is widely identified with the organisation by outsiders.	4		
4.3 Strategic Plan: Which statement best describes the strategic plan of the organisation?	No strategic plan for the organisation exists.	0		
	The strategic plan for the organisation is out of date, being prepared or lacks of measurable indicators.	1		
	The organisation has a strategic plan with measurable indicators, covering a period of at least three years, but there is no monitoring of actions against it.	2		
	The organisation has a strategic plan with measurable indicators, covering a period of at least three years, amd actions are monitored against it. The plan is updated on an ad hoc basis.	3		

	The organisation has a strategic plan with measurable indicators, covering a period of at least three years, and actions are monitored against it. The plan is updated periodically, through a participatory process involving staff, board members and external stakeholders.	4		
4.4 Relevance of projects: Which statement best reflects the situation within the organisation?	The organisation does not have a clearly defined mission statement and its portfolio of projects is totally lacking in coherence.	0		
	The organisation has a diverse portfolio of projects that are often inconsistent with its mission statement.	1		
	The organisation has a diverse portfolio of projects that are often but not always inconsistent with its mission statement. Funding opportunities are never screened against its organisation's mission and strategic plan.	2		
	The organisation has a coherent portfolio of projects that are usually but not always consistent with its mission statement. Screening of funding proposals against the organisation's mission and strategic plan takes place on an ad hoc basis.	3		
	The organisation has a coherent portfolio of projects that are always consistent with its mission statement. Funding opportunities are systematically screened against the organisation's mission and strategic plan, and only pursued if they are in line with them.	4		

4.5 Accountability to stakeholders: Which statement best reflects/ describes the role of the organisation's stakeholders (government, local communities, other civil society organisations, etc.)?	Stakeholders have no input into project design and implementation.	0		
	Stakeholders are sometimes consulted during project design and implementation but they have no involvement in the decision making.	1		
	Stakeholders are regularly consulted during project design and implementation, and contribute to some decisions on an ad hoc basis.	2		
	Stakeholders are systematically consulted during project design and implementation, and have a clearly defined role in decision making. The organisation's stakeholders are consulted during the development/ revision of its mission and strategic plan but have no involvement in the decision making.	3		
	Stakeholders are systematically consulted during project design and implementation, and have a clearly defined role in decision making. The organisation's stakeholders are consulted during the development/ revision of its mission and strategic plan, and have a clearly defined role in the decision making.	4		

**Total  
Score:**

Part 5- Assessment Form (Delivery)

Indicator	Criteria (tick the applicable ones)		Score	Notes
5. Delivery				
5.1 Governance: What is the largest annual budget of any project that the organisation is currently implementing?	Less than US\$1,000 per year	0		
	US\$1,000 to US\$10,000 per year	1		
	> US\$10,000 to ≤ US\$100,000 per year	2		
	> US\$100,000 to ≤ US\$1 million per year	3		
	More than US\$1 million per year	4		
5.2 Relevance of projects to conservation objectives: Which statement best describes the projects currently implemented by the organisation?	No project defines clear biodiversity targets/ conservation outcomes.	0		
	Less than half of the project define clear biodiversity targets/ conservation outcomes.	1		
	More than half of the project define clear biodiversity targets/ conservation outcomes.	2		
	All projects define clear biodiversity targets/ conservation outcomes, and monitor progress towards them.	3		
	All projects define clear biodiversity targets/ conservation outcomes based on global conservation priorities (IUCN Red List, Key Biodiversity Areas, WWF Ecoregions, etc.), and monitor progress towards them.	4		
5.3 Delivery of project outputs: How frequently are project outputs delivered successfully and in the proposed quarter?	Never	0		
	Less than half of the time	1		
	More than half of the time	2		
	Always delivered successfully but not always in the proposed quarter.	3		
	Always delivered successfully and in the proposed quarter.	4		

5.4 Geographical reach: Which statement best describes the geographical reach of the organisation?	The organisation is based in an urban centre, and all of its activities are focused there.	0		
	The organisation has one or more field projects but they are directed from its base in an urban centre.	1		
	The organisation has one or more field projects directed from local field offices.	2		
	The organisation has one or more field projects directed from local field offices, and coordinates at least one network of local NGOs , community-based organisations or other civil society groups, which is active in one or more regions of the country.	3		
	The organisation has one or more field projects directed from local field offices, and coordinates at least one network of local NGOs , community-based organisations or other civil society groups, which is active nationwide.	4		
5.5 Collaboration: Which statement best describes the organisation's collaborations with other civil society organisations, local or international?	The organisation does not have experience working with other civil society organisations.	0		
	The organisation occasionally collaborates in joint initiatives with other civil society organisations on an ad hoc basis.	1		
	The organisation has working relations, and at least one on-going joint project with other civil society organisations.	2		
	The organisation has working relations, and at least one on-going joint project with other civil society organisations. The organisation also participates in and supports at least one civil society coalition/ network but does not play a leadership role.	3		
	The organisation has working relations, and at least one on-going joint project with other civil society organisations. The organisation also participates in and supports at least one civil society coalition/ network and play a leadership role in promoting coalitions/ networks.	4		

**Total  
Score:**



Summary (automatically  
generated)

Name of Organisation:

Category	Score
Human Resources	
Financial Resources	
Management Systems	
Strategic Planning	
Delivery	
Total (/100)	

If you would like to review and change your responses, please use the Previous Page button to navigate to particular section.

Any personal identifiable information provided as part of this CSTT form will be processed in accordance with applicable data protection laws and regulations. For more information on CI's privacy practices, please see our privacy notice at <https://www.conservation.org/Pages/privacy.aspx>  
Before submitting your CSTT, enter your email address to obtain an electronic copy of your CSTT:

Then you **MUST click SUBMIT** to finalize your response.

## 17.14 Management Effectiveness Tracking Tool (METT)

**Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5**  
**Objective 1: Catalyzing Sustainability of Protected Area Systems**  
**SECTION II: Management Effectiveness Tracking Tool for Protected Areas**

**Note:** Please complete the management effectiveness tracking tool for EACH protected area that is the target of the GEF intervention.

**Structure and content of the Tracking Tool - Objective 1. Section II:**

The Tracking Tool has two main sections: datasheets and assessment form. Both sections should be completed.

**1. Datasheets:** the data sheet comprises of two separate sections:

- Data sheet 1: records details of the assessment and some basic information about the site, such as name, size and location etc.
- Data sheet 2: provides a generic list of threats which protected areas can face. On this data sheet the assessors are asked to identify threats and rank their impact on the protected area.

**2. Assessment Form:** the assessment is structured around 30 questions presented in table format which includes three columns for recording details of the assessment, all of which should be completed.

**Important:** Please read the [Guidelines posted on the GEF website](#) before entering your data

Data Sheet 1: Reporting Progress at Protected Area Sites	Please indicate your answer here	Notes
Name, affiliation and contact details for person responsible for completing the METT (email etc.)		
Date assessment carried out		Month DD, YYYY (e.g., May 12, 2010)
Name of protected area		See also:
WDPA site code (these codes can be found on <a href="http://www.protectedplanet.net">www.protectedplanet.net</a> )		
Designations(please choose 1-3)		1: National 2: IUCN Category 3: International (please complete lines 35-69 as necessary )
Country		
Location of protected area (province and if possible map reference)		
Date of establishment		
Ownership details (please choose 1-4)		1: State 2: Private 3: Community 4: Other
Management Authority		
Size of protected area (ha)		
Number of Permanent staff		
Number of Temporary staff		
Annual budget (US\$) for recurrent (operational) funds – excluding staff salary costs		
Annual budget (US\$) for project or other supplementary funds – excluding staff salary costs		
What are the main values for which the area is designated		
List the two primary protected area management objectives in below:		
Management objective 1		
Management objective 2		

No. of people involved in completing assessment		
Including: (please list all that apply)		1: PA manager 2: PA staff 3: Other PA agency staff 4: Donors 5: NGOs 6: External experts 7: Local community 8: Other
<b>Information on International Designations</b>	<b>Please indicate your answer here</b>	
<b>UNESCO World Heritage site (see: <a href="http://whc.unesco.org/en/list">whc.unesco.org/en/list</a>)</b>		
Date Listed		
Site name		
Site area		
Geographical co-ordinates		
Criteria for designation		(i.e. criteria i to x)
Statement of Outstanding Universal Value		
<b>Ramsar site (see: <a href="http://ramsar.wetlands.org/">http://ramsar.wetlands.org/</a>)</b>		
Date Listed		
Site name		
Site area		
Geographical number		
Reason for Designation (see Ramsar Information Sheet)		
<b>UNESCO Man and Biosphere Reserves (see: <a href="http://www.unesco.org/mab/wnbrs.shtml">www.unesco.org/mab/wnbrs.shtml</a> )</b>		<a href="http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/biosphere-reserves/mab/">http://www.unesco.org/new/en/natural-sciences/environment/ecological-sciences/biosphere-reserves/mab/</a>

Date Listed		
Site name		
Site area		Total, Core, Buffer, and Transition
Geographical co-ordinates		
Criteria for designation		
Fulfilment of three functions of MAB		conservation, development and logistic support
<b>Please list other designations (i.e. ASEAN Heritage, Natura 2000) and any supporting information below</b>		
		Name
		Detail
		Name
		Detail
		Name
		Detail
<b>Data Sheet 2: Protected Areas Threats</b>		
Please choose all relevant existing threats as either of high, medium or low significance. Threats ranked as of high significance are those which are seriously degrading values; medium are those threats having some negative impact and those characterised as low are threats which are present but not seriously impacting values or N/A where the threat is not present or not applicable in the protected area.		
<b>1. Residential and commercial development within a protected area</b>		
Threats from human settlements or other non-agricultural land uses with a substantial footprint		
1.1 Housing and settlement		0: N/A 1: Low 2: Medium 3: High

1.2 Commercial and industrial areas		0: N/A 1: Low 2: Medium 3: High
1.3 Tourism and recreation infrastructure		0: N/A 1: Low 2: Medium 3: High
<b>2. Agriculture and aquaculture within a protected area</b>		
Threats from farming and grazing as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture		
2.1 Annual and perennial non-timber crop cultivation		0: N/A 1: Low 2: Medium 3: High
2.1a Drug cultivation		0: N/A 1: Low 2: Medium 3: High
2.2 Wood and pulp plantations		0: N/A 1: Low 2: Medium 3: High
2.3 Livestock farming and grazing		0: N/A 1: Low 2: Medium 3: High
2.4 Marine and freshwater aquaculture		0: N/A 1: Low 2: Medium 3: High
<b>3. Energy production and mining within a protected area</b>		
Threats from production of non-biological resources		

3.1 Oil and gas drilling		0: N/A 1: Low 2: Medium 3: High
3.2 Mining and quarrying		0: N/A 1: Low 2: Medium 3: High
3.3 Energy generation, including from hydropower dams		0: N/A 1: Low 2: Medium 3: High
<b>4. Transportation and service corridors within a protected area</b>		
Threats from long narrow transport corridors and the vehicles that use them including associated wildlife mortality		
4.1 Roads and railroads (include road-killed animals)		0: N/A 1: Low 2: Medium 3: High
4.2 Utility and service lines (e.g. electricity cables, telephone lines,)		0: N/A 1: Low 2: Medium 3: High
4.3 Shipping lanes and canals		0: N/A 1: Low 2: Medium 3: High
4.4 Flight paths		0: N/A 1: Low 2: Medium 3: High
<b>5. Biological resource use and harm within a protected area</b>		
Threats from consumptive use of "wild" biological resources including both deliberate and unintentional harvesting effects; also		

persecution or control of specific species (note this includes hunting and killing of animals)		
5.1 Hunting, killing and collecting terrestrial animals (including killing of animals as a result of human/wildlife conflict)		0: N/A 1: Low 2: Medium 3: High
5.2 Gathering terrestrial plants or plant products (non-timber)		0: N/A 1: Low 2: Medium 3: High
5.3 Logging and wood harvesting		0: N/A 1: Low 2: Medium 3: High
5.4 Fishing, killing and harvesting aquatic resources		0: N/A 1: Low 2: Medium 3: High
<b>6. Human intrusions and disturbance within a protected area</b>		
Threats from human activities that alter, destroy or disturb habitats and species associated with non-consumptive uses of biological resources		
6.1 Recreational activities and tourism		0: N/A 1: Low 2: Medium 3: High
6.2 War, civil unrest and military exercises		0: N/A 1: Low 2: Medium 3: High
6.3 Research, education and other work-related activities in protected areas		0: N/A 1: Low 2: Medium 3: High



6.4 Activities of protected area managers (e.g. construction or vehicle use, artificial watering points and dams)		0: N/A 1: Low 2: Medium 3: High
6.5 Deliberate vandalism, destructive activities or threats to protected area staff and visitors		0: N/A 1: Low 2: Medium 3: High
<b>7. Natural system modifications</b>		
Threats from other actions that convert or degrade habitat or change the way the ecosystem functions		
7.1 Fire and fire suppression (including arson)		0: N/A 1: Low 2: Medium 3: High
7.2 Dams, hydrological modification and water management/use		0: N/A 1: Low 2: Medium 3: High
7.3a Increased fragmentation within protected area		0: N/A 1: Low 2: Medium 3: High
7.3b Isolation from other natural habitat (e.g. deforestation, dams without effective aquatic wildlife passages)		0: N/A 1: Low 2: Medium 3: High
7.3c Other 'edge effects' on park values		0: N/A 1: Low 2: Medium 3: High
7.3d Loss of keystone species (e.g. top predators, pollinators etc)		0: N/A 1: Low

		2: Medium 3: High
<b>8. Invasive and other problematic species and genes</b>		
Threats from terrestrial and aquatic non-native and native plants, animals, pathogens/microbes or genetic materials that have or are predicted to have harmful effects on biodiversity following introduction, spread and/or increase		
8.1 Invasive non-native/alien plants (weeds)		0: N/A 1: Low 2: Medium 3: High
8.1a Invasive non-native/alien animals		0: N/A 1: Low 2: Medium 3: High
8.1b Pathogens (non-native or native but creating new/increased problems)		0: N/A 1: Low 2: Medium 3: High
8.2 Introduced genetic material (e.g. genetically modified organisms)		0: N/A 1: Low 2: Medium 3: High
<b>9. Pollution entering or generated within protected area</b>		
Threats from introduction of exotic and/or excess materials or energy from point and non-point sources		
9.1 Household sewage and urban waste water		0: N/A 1: Low 2: Medium 3: High
9.1a Sewage and waste water from protected area facilities (e.g. toilets, hotels etc)		0: N/A 1: Low 2: Medium 3: High

9.2 Industrial, mining and military effluents and discharges (e.g. poor water quality discharge from dams, e.g. unnatural temperatures, de-oxygenated, other pollution)		0: N/A 1: Low 2: Medium 3: High
9.3 Agricultural and forestry effluents (e.g. excess fertilizers or pesticides)		0: N/A 1: Low 2: Medium 3: High
9.4 Garbage and solid waste		0: N/A 1: Low 2: Medium 3: High
9.5 Air-borne pollutants		0: N/A 1: Low 2: Medium 3: High
9.6 Excess energy (e.g. heat pollution, lights etc)		0: N/A 1: Low 2: Medium 3: High
<b>10. Geological events</b>		
Geological events may be part of natural disturbance regimes in many ecosystems. But they can be a threat if a species or habitat is damaged and has lost its resilience and is vulnerable to disturbance. Management capacity to respond to some of these changes may be limited.		
10.1 Volcanoes		0: N/A 1: Low 2: Medium 3: High
10.2 Earthquakes/Tsunamis		0: N/A 1: Low 2: Medium 3: High

10.3 Avalanches/ Landslides		0: N/A 1: Low 2: Medium 3: High
10.4 Erosion and siltation/ deposition (e.g. shoreline or riverbed changes)		0: N/A 1: Low 2: Medium 3: High
<b>11. Climate change and severe weather</b>		
Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events outside of the natural range of variation		
11.1 Habitat shifting and alteration		0: N/A 1: Low 2: Medium 3: High
11.2 Droughts		0: N/A 1: Low 2: Medium 3: High
11.3 Temperature extremes		0: N/A 1: Low 2: Medium 3: High
11.4 Storms and flooding		0: N/A 1: Low 2: Medium 3: High
<b>12. Specific cultural and social threats</b>		
12.1 Loss of cultural links, traditional knowledge and/or management practices		0: N/A 1: Low 2: Medium 3: High

12.2 Natural deterioration of important cultural site values		0: N/A 1: Low 2: Medium 3: High
12.3 Destruction of cultural heritage buildings, gardens, sites etc		0: N/A 1: Low 2: Medium 3: High
<b>Assessment Form</b>		
1. Legal status: Does the protected area have legal status (or in the case of private reserves is covered by a covenant or similar)?		0: The protected area is not gazetted/covenanted. 1: There is agreement that the protected area should be gazetted/covenanted but the process has not yet begun. 2: The protected area is in the process of being gazetted/covenanted but the process is still incomplete (includes sites designated under international conventions, such as Ramsar, or local/traditional law such as community conserved areas, which do not yet have national legal status or covenant). 3: The protected area has been formally gazetted/covenanted.
Comments and Next Steps		
2. Protected area regulations: Are appropriate regulations in place to control land use and activities (e.g. hunting)?		0: There are no regulations for controlling land use and activities in the protected area. 1: Some regulations for controlling land use and activities in the protected area exist but these are major weaknesses. 2: Regulations for controlling land use and activities in the protected area exist but there are some weaknesses or gaps.

		3: Regulations for controlling inappropriate land use and activities in the protected area exist and provide an excellent basis for management.
Comments and Next Steps		
<p>3. Law</p> <p>Enforcement: Can staff (i.e. those with responsibility for managing the site) enforce protected area rules well enough?</p>		<p>0: The staff have no effective capacity/resources to enforce protected area legislation and regulations.</p> <p>1: There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget, lack of institutional support).</p> <p>2: The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain.</p> <p>3: The staff have excellent capacity/resources to enforce protected area legislation and regulations.</p>
Comments and Next Steps		
<p>4. Protected area objectives: Is management undertaken according to agreed objectives?</p>		<p>0: No firm objectives have been agreed for the protected area</p> <p>1: The protected area has agreed objectives, but is not managed according to these objectives.</p> <p>2: The protected area has agreed objectives, but is only partially managed according to these objectives.</p> <p>3: The protected area has agreed objectives and is managed to meet these objectives.</p>
Comments and Next Steps		
<p>5. Protected area design: Is the protected area the right size and shape to protect species, habitats, ecological processes and water catchments of key conservation concern?</p>		<p>0: Inadequacies in protected area design mean achieving the major objectives of the protected area is very difficult.</p> <p>1: Inadequacies in protected area design mean that achievement of major objectives is difficult but some mitigating actions are being taken (e.g. agreements with adjacent land owners for wildlife corridors or introduction of appropriate catchment management).</p>

		<p>2: Protected area design is not significantly constraining achievement of objectives, but could be improved (e.g. with respect to larger scale ecological processes).</p> <p>3: Protected area design helps achievement of objectives; it is appropriate for species and habitat conservation; and maintains ecological processes such as surface and groundwater flows at a catchment scale, natural disturbance patterns etc.</p>
Comments and Next Steps		
1. Protected area boundary demarcation: Is the boundary known and demarcated?		<p>0: The boundary of the protected area is not known by the management authority or local residents/neighbouring land users.</p> <p>1: The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users.</p> <p>2: The boundary of the protected area is known by both the management authority and local residents/neighbouring land users but is not appropriately demarcated.</p> <p>3: The boundary of the protected area is known by the management authority and local residents/neighbouring land users and is appropriately demarcated.</p>
Comments and Next Steps		
7. Management plan: Is there a management plan and is it being implemented?		<p>0: There is no management plan for the protected area.</p> <p>1: A management plan is being prepared or has been prepared but is not being implemented.</p> <p>2: A management plan exists but it is only being partially implemented because of funding constraints or other problems.</p> <p>3: A management plan exists and is being implemented.</p>

Comments and Next Steps		
7.a Planning process: The planning process allows adequate opportunity for key stakeholders to influence the management plan		0: No 1: Yes
Comments and Next Steps		
7.b Planning process: There is an established schedule and process for periodic review and updating of the management plan		0: No 1: Yes
Comments and Next Steps		
7.c Planning process: The results of monitoring, research and evaluation are routinely incorporated into planning		0: No 1: Yes
Comments and Next Steps		
8. Regular work plan: Is there a regular work plan and is it being implemented		0: No regular work plan exists. 1: A regular work plan exists but few of the activities are implemented. 2: A regular work plan exists and many activities are implemented. 3: A regular work plan exists and all activities are implemented.
Comments and Next Steps		
9. Resource inventory: Do you have enough information to manage the area?		0: There is little or no information available on the critical habitats, species and cultural values of the protected area. 1: Information on the critical habitats, species, ecological processes and cultural values of the protected area is not sufficient to support planning and decision making. 2: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient for most key areas of planning and decision making. 3: Information on the critical habitats, species, ecological processes and cultural values of the protected area is sufficient to support all areas of planning and decision making.



Comments and Next Steps		
1. Protection systems: Are systems in place to control access/resource use in the protected area?		<p>0: Protection systems (patrols, permits etc) do not exist or are not effective in controlling access/resource use.</p> <p>1: Protection systems are only partially effective in controlling access/resource use.</p> <p>2: Protection systems are moderately effective in controlling access/resource use.</p> <p>3: Protection systems are largely or wholly effective in controlling access/ resource use.</p>
Comments and Next Steps		
11. Research: Is there a programme of management-orientated survey and research work?		<p>0: There is no survey or research work taking place in the protected area.</p> <p>1: There is a small amount of survey and research work but it is not directed towards the needs of protected area management.</p> <p>2: There is considerable survey and research work but it is not directed towards the needs of protected area management.</p> <p>3: There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs.</p>
Comments and Next Steps		
12. Resource management: Is active resource management being undertaken?		<p>0: Active resource management is not being undertaken.</p> <p>1: Very few of the requirements for active management of critical habitats, species, ecological processes and cultural values are being implemented.</p> <p>2: Many of the requirements for active management of critical habitats, species, ecological processes and, cultural values are being implemented but some key issues are not being addressed.</p>

		3: Requirements for active management of critical habitats, species, ecological processes and, cultural values are being substantially or fully implemented.
Comments and Next Steps		
13. Staff numbers: Are there enough people employed to manage the protected area?		0: There are no staff. 1: Staff numbers are inadequate for critical management activities. 2: Staff numbers are below optimum level for critical management activities. 3: Staff numbers are adequate for the management needs of the protected area.
Comments and Next Steps		
14. Staff training: Are staff adequately trained to fulfill management objectives?		0: Staff lack the skills needed for protected area management. 1: Staff training and skills are low relative to the needs of the protected area. 2: Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management. 3: Staff training and skills are aligned with the management needs of the protected area.
Comments and Next Steps		
15. Current budget: Is the current budget sufficient?		0: There is no budget for management of the protected area. 1: The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage. 2: The available budget is acceptable but could be further improved to fully achieve effective management. 3: The available budget is sufficient and meets the full management needs of the protected area.
Comments and Next Steps		

16. Security of budget: Is the budget secure?		<p>0: There is no secure budget for the protected area and management is wholly reliant on outside or highly variable funding.</p> <p>1: There is very little secure budget and the protected area could not function adequately without outside funding</p> <p>2: There is a reasonably secure core budget for regular operation of the protected area but many innovations and initiatives are reliant on outside funding.</p> <p>3: There is a secure budget for the protected area and its management needs.</p>
Comments and Next Steps		
17. Management of budget: Is the budget managed to meet critical management needs?		<p>0: Budget management is very poor and significantly undermines effectiveness (e.g. late release of budget in financial year).</p> <p>1: Budget management is poor and constrains effectiveness.</p> <p>2: Budget management is adequate but could be improved.</p> <p>3: Budget management is excellent and meets management needs</p>
Comments and Next Steps		
18. Equipment: Is equipment sufficient for management needs?		<p>0: There are little or no equipment and facilities for management needs.</p> <p>1: There are some equipment and facilities but these are inadequate for most management needs.</p> <p>2: There are equipment and facilities, but still some gaps that constrain management.</p> <p>3: There are adequate equipment and facilities</p>
Comments and Next Steps		
19. Maintenance of equipment: Is equipment adequately maintained?		<p>0: There is little or no maintenance of equipment and facilities.</p> <p>1: There is some ad hoc maintenance of equipment</p>

		<p>and facilities.</p> <p>2: There is basic maintenance of equipment and facilities.</p> <p>3: Equipment and facilities are well maintained.</p>
Comments and Next Steps		
20. Education and awareness: Is there a planned education programme linked to the objectives and needs?		<p>0: There is no education and awareness programme.</p> <p>1: There is a limited and ad hoc education and awareness programme.</p> <p>2: There is an education and awareness programme but it only partly meets needs and could be improved.</p> <p>3: There is an appropriate and fully implemented education and awareness programme.</p>
Comments and Next Steps		
21. Planning for land and water use: Does land and water use planning recognise the protected area and aid the achievement of objectives?		<p>0: Adjacent land and water use planning does not take into account the needs of the protected area and activities/policies are detrimental to the survival of the area.</p> <p>1: Adjacent land and water use planning does not take into account the long-term needs of the protected area, but activities are not detrimental the area.</p> <p>2: Adjacent land and water use planning partially takes into account the long-term needs of the protected area.</p> <p>3: Adjacent land and water use planning fully takes into account the long-term needs of the protected area.</p>
Comments and Next Steps		
21a. Land and water planning for habitat conservation: Planning and management in the catchment or landscape containing the protected area incorporates provision for adequate environmental conditions (e.g. volume, quality and timing of water flow, air pollution levels etc) to sustain relevant habitats.		<p>0: No</p> <p>1: Yes</p>

Comments and Next Steps		
21b. Land and water planning for habitat conservation: Management of corridors linking the protected area provides for wildlife passage to key habitats outside the protected area (e.g. to allow migratory fish to travel between freshwater spawning sites and the sea, or to allow animal migration).		0: No 1: Yes
Comments and Next Steps		
21c. Land and water planning for habitat conservation: "Planning addresses ecosystem-specific needs and/or the needs of particular species of concern at an ecosystem scale (e.g. volume, quality and timing of freshwater flow to sustain particular species, fire management to maintain savannah habitats etc.)"		0: No 1: Yes
Comments and Next Steps		
22. State and commercial neighbours: Is there co-operation with adjacent land and water users?		0: There is no contact between managers and neighbouring official or corporate land and water users. 1: There is contact between managers and neighbouring official or corporate land and water users but little or no cooperation. 2: There is contact between managers and neighbouring official or corporate land and water users, but only some co-operation. 3: There is regular contact between managers and neighbouring official or corporate land and water users, and substantial co-operation on management.
Comments and Next Steps		
23. Indigenous people: Do Indigenous and traditional peoples resident or regularly using the protected area have input to management decisions?		0: Indigenous and traditional peoples have no input into decisions relating to the management of the protected area. 1: Indigenous and traditional peoples have some input into discussions relating to management but no direct role in management. 2: Indigenous and traditional peoples directly contribute to some relevant decisions relating to

		<p>management but their involvement could be improved.</p> <p>3: Indigenous and traditional peoples directly participate in all relevant decisions relating to management, e.g. co-management.</p>
Comments and Next Steps		
24. Local communities: Do local communities resident or near the protected area have input to management decisions?		<p>0: Local communities have no input into decisions relating to the management of the protected area.</p> <p>1: Local communities have some input into discussions relating to management but no direct role in management.</p> <p>2: Local communities directly contribute to some relevant decisions relating to management but their involvement could be improved.</p> <p>3: Local communities directly participate in all relevant decisions relating to management, e.g. co-management</p>
Comments and Next Steps		
24 a. Impact on communities: There is open communication and trust between local and/or Indigenous people, stakeholders and protected area managers		<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		
24 b. Impact on communities: Programmes to enhance community welfare, while conserving protected area resources, are being implemented		<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		
24 c. Impact on communities: Local and/or Indigenous people actively support the protected area		<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		
25. Economic benefit: Is the protected area providing economic benefits to local communities, e.g. income, employment, payment for environmental services?		<p>0: The protected area does not deliver any economic benefits to local communities.</p> <p>1: Potential economic benefits are recognised and plans to realise these are being developed.</p>

		<p>2: There is some flow of economic benefits to local communities</p> <p>3: There is a major flow of economic benefits to local communities from activities associated with the protected area.</p>
Comments and Next Steps		
26. Monitoring and evaluation: Are management activities monitored against performance?		<p>0: There is no monitoring and evaluation in the protected area.</p> <p>1: There is some ad hoc monitoring and evaluation, but no overall strategy and/or no regular collection of results.</p> <p>2: There is an agreed and implemented monitoring and evaluation system but results do not feed back into management.</p> <p>3: A good monitoring and evaluation system exists, is well implemented and used in adaptive management.</p>
Comments and Next Steps		
27. Visitor facilities: Are visitor facilities adequate?		<p>0: There are no visitor facilities and services despite an identified need.</p> <p>1: Visitor facilities and services are inappropriate for current levels of visitation</p> <p>2: Visitor facilities and services are adequate for current levels of visitation but could be improved.</p> <p>3: Visitor facilities and services are excellent for current levels of visitation</p>
Comments and Next Steps		
28. Commercial tourism operators: Do commercial tour operators contribute to protected area management?		<p>0: There is little or no contact between managers and tourism operators using the protected area.</p> <p>1: There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters.</p>

		<p>2: There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values.</p> <p>3: There is good co-operation between managers and tourism operators to enhance visitor experiences, and maintain protected area values.</p>
Comments and Next Steps		
29. Fees: If fees (i.e. entry fees or fines) are applied, do they help protected area management?		<p>0: Although fees are theoretically applied, they are not collected.</p> <p>1: Fees are collected, but make no contribution to the protected area or its environs.</p> <p>2: Fees are collected, and make some contribution to the protected area and its environs.</p> <p>3: Fees are collected and make a substantial contribution to the protected area and its environs</p>
Comments and Next Steps		
30. Condition of values: What is the condition of the important values of the protected area as compared to when it was first designated?		<p>0: Many important biodiversity, ecological or cultural values are being severely degraded</p> <p>1: Some biodiversity, ecological or cultural values are being severely degraded</p> <p>2: Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted.</p> <p>3: Biodiversity, ecological and cultural values are predominantly intact</p>
Comments and Next Steps		
30a: Condition of values: The assessment of the condition of values is based on research and/or monitoring		<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		
30b: Condition of values Specific management programmes are being implemented to address threats to biodiversity, ecological and cultural values		<p>0: No</p> <p>1: Yes</p>
Comments and Next Steps		



30c: Condition of values: Activities to maintain key biodiversity, ecological and cultural values are a routine part of park management		0: No 1: Yes
Comments and Next Steps		
<b>TOTAL SCORE</b>		

## 17.15 Project Progress Report

### Section 1: Basic Report Information

Report type:

Start Date:

End Date:

Due Date:

Submitted Date:

Submitted By:

### Section 2: Summary Questions

Describe your grant's performance during the reporting period, including significant results.

Was there anything that you planned for this period that did not happen? What were the reasons? What action did you take in response? Are any changes to the project needed as a result?

Summarize any action taken to mitigate anticipated or unanticipated environmental or social safeguard issues during this period.

Please use this space to report on anything about the project that was not captured in this report

#### *Activity Update*

Activity Number	Activity	Status Update

#### *Deliverable Update*

Deliverable	Deliverable Description	Update

#### *Short Term Impact Update*

Short Term Impact	Status	Progress to Date

## 17.16 Quarterly Financial Report

<b>Quarterly Financial Report</b>							
Grant No:							
Title							
Period From:							
Period To:							
Submitted By:							
Submitted Date:							
Total Released Payments							
<b>Grantee Budget Category Name</b>	<b>Current Period Expenses</b>	<b>Expenditures To Date</b>	<b>Total Expenditures</b>	<b>Approved Budget</b>	<b>Available Budget</b>	<b>Percentage Used</b>	<b>Comments</b>
Management Support Costs							
Bank and Insurance Fees							
Travel and Special Events							
Maintenance							
Furniture and Equipment							
Supplies							
Postage and Delivery							
Telecommunications							
Occupancy (Office Rent and Utilities)							
Consultancies and Professional Services							
Subgrants							
Salaries and Benefits							
<b>Totals</b>							
Closing Balance							
Projected Expenditures							
Advance Requested							

## 17.17 Final Completion and Impact Report

### 1. Instructions

CEPF requires that each grantee report on project results and impacts at the end of their grant. To monitor CEPF's global indicators, CEPF will aggregate the data that you submit with data from other grantees, to determine the overall impact of CEPF investment. The aggregated results of all grantees will be reported on in our annual impact report and other communications materials. Your Final Completion and Impact Report will be posted on the CEPF website.

Organization Legal Name:

Project Title:

Grant Number:

CEPF Hotspot:

Strategic Direction:

Grant Amount:

Project Start Date:

Project End Date:

### 2. Summary Questions

List each implementation partner and explain how they were involved in the project:

Summarize the overall results of the project:

Were there any unexpected impacts (positive or negative)?

Describe any tools, products or methodologies that resulted from this project or contributed to the results. If these are available electronically, please submit them via the tab called "Other information".

Safeguards. If not listed as a separate project component, summarize the implementation of any required action related to social or environmental safeguards that your project may have triggered.

### 3. Project Impacts

Briefly describe actual progress towards each planned long-term and short-term impact of your project (as stated in the approved proposal)

Impact Description	Impact Term	Impact Update

#### 4. Portfolio Indicators

In order to measure the results of CEPF investment strategy at the hotspot level, CEPF uses a set of Portfolio Indicators which are presented in the Ecosystem Profile of each hotspot. Your project contributes to the following Portfolio Indicators.

Below you will see the expected numeric contribution and description from your approved proposal for each Portfolio Indicator. Update with actual numeric contribution and description achieved during the grant period.

Portfolio Indicator Number	Portfolio Indicator	Expected Numerical Contribution	Expected Contribution Description	Actual Numerical Contribution	Actual Contribution Description

#### 5. Deliverables

Please enter all of your final project deliverable updates.

Deliverable Number	Deliverable Description	Deliverable Update

#### 6. Protected Areas

If this Indicator is not relevant to your project, proceed to the next tab.

Report on the number of hectares of protected areas that have been created or expanded as a result of your project. Protected areas may include private or community reserves, municipal or provincial parks, or other designations where biodiversity conservation is an official management goal.

Protected Area Official Name	New Protected Area Hectares	Year of Legal Declaration or Expansion	Action

#### 7. Protected Area Database

If you found your protected area listed on 6-Protected Areas tab, proceed directly to the next tab. If you did not find your protected area, use this tab to add new protected areas. Once you have added a new protected area, you must go back to the 6-Protected Areas tab where your protected area will now be available for you to report on.

Protected Area Name	Original Total Size	Countries	Latitude	Longitude	Action

## 8. KBA Management

If this Indicator is not relevant to your project, proceed to the next tab.

Report on the number of hectares in KBAs under improved management, where tangible results have been achieved to support conservation, as a result of your project. Examples of improved management include, but are not restricted to: increased patrolling, reduced intensity of snaring, invasive species eradication, reduced incidence of fire, and introduction of sustainable agricultural/fisheries practices. Do not record the entire area covered by the project - only record the number of hectares that have improved management.

If you have recorded part or all of a KBA as newly protected on the 6-Protected Areas tab, and you have also improved its management, you should record the relevant number of hectares with improved management below.

Name of KBA	Hectares Improved	Action

## 9. Production Landscapes

If this Indicator is not relevant to your project, proceed to the next tab.

Report on the number of hectares of production landscape with strengthened management of biodiversity, as a result of your project.

A Production Landscape is defined as a site outside a protected area where commercial agriculture, forestry or natural product exploitation occurs.

- For an area to be considered as having "strengthened management of biodiversity," it can benefit from a wide range of interventions such as best practices and guidelines implemented, incentive schemes introduced, sites/products certified, and sustainable harvesting regulations introduced.
- Areas that are protected are not included under this indicator, because their hectares are counted elsewhere.
- A Production Landscape can include part or all of an unprotected KBA.

Production Landscape Name	Hectares Strengthened	Intervention	Latitude	Longitude	Action

## 10. Benefits to Individuals

If this Indicator is not relevant to your project, proceed to the next tab.

### Structured Training

Report on the number of men and women that have benefited from structured training due to your project, such as financial management, beekeeping, horticulture, farming, biological surveys, or how to conduct a patrol.

Do **not** count the same person more than once. For example, if 5 men received structured training in beekeeping, and 3 of these also received structured training in project management, the total number of men who benefited from structured training should be 5.

Number of men receiving structured training:

Number of women receiving structured training:

List the topic(s) of the trainings:

### Cash Benefits

Report on the number of men and women that had an increase in income or cash (monetary) benefits due to your project from activities such as tourism, handicraft production, increased farm output, increased fishery output, medicinal plant harvest, or payment for conducting patrols.

Do **not** count staff from your organization whose income came directly from the CEPF grant. Do not count the same person more than once. For example, if 5 men had cash benefits as tour guides and 3 of these same men also had increased income from handicraft sales, the total number of men who received cash benefits should be 5.

Number of men receiving cash benefits:

Number of women receiving cash benefits:

Description of benefits:

## **11. Benefits to Communities**

If this Indicator is not relevant to your project, proceed to the next tab.

Report on non-cash benefits received by communities. Report on the characteristics of the communities, the type of benefits that have been received during the project, and the number of males and females from these communities that have benefited, as a result of your project. If exact numbers are not known, please provide an estimate.

View the <b>characteristics</b> column below with the following corresponding codes:	View the <b>benefits</b> column below with the following corresponding codes:
1- Small Landowners	a. Increased Access to Clean Water
2- Subsistence Economy	b. Increased Food Security
3- Indigenous/ Ethnic Peoples	c. Increased Access to Energy
4- Pastoralists / Nomadic Peoples	d. Increased Access to Public Services
5- Recent Migrants	e. Increased Resilience to Climate Change
6- Urban Communities	f. Improved Land Tenure
7- Other	g. Improved Use of Traditional Knowledge
	h. Improved Decision-Making
	i. Improved Access to Ecosystem Services

Community Name	Community Characteristics							Type of Benefit									Country	Number of Males Benefiting	Number of Females Benefiting
	1	2	3	4	5	6	7	a	b	c	d	e	f	g	h	i			

Characteristics of “Other” Communities:

## 12. Policies, Laws and Regulations

If this Indicator is not relevant to your project, proceed to the next tab.

Report on policies, laws and regulations with conservation provisions that have been enacted or amended, as a result of your project. “Policies” pertain to statements of intent formally adopted or pursued by a government, including at sectoral or sub-national level. “Laws and regulations” pertain to official rules or orders, prescribed by authority. Any law, regulation, decree or order is eligible to be included.

No.	Name of Law	Scope	Topics															
			A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P

“Other” Topics Addressed by the Policy, Law or Regulation:

No.	Country/ Countries	Date Enacted/ Amended	Expected impact	Action Performed to Achieve the Enactment/ Amendment



### 13. Biodiversity-friendly Practices

If this Indicator is not relevant to your project, proceed to the next tab.

List any companies that have adopted biodiversity-friendly practices as a result of your project. While companies take various forms, for the purposes of CEPF, a company is defined as a for-profit business entity. A biodiversity-friendly practice is one that conserves or uses natural resources in a sustainable manner.

Name of Company	Description of Practice	Action

### 14. Networks and Partnerships

If this Indicator is not relevant to your project, proceed to the next tab.

Report on any networks or partnerships between and among civil society groups and other sectors that you have created or strengthened as a result of your project. Networks/partnerships should have some lasting benefit beyond immediate project implementation. Informal networks/partnerships are acceptable. Examples of networks/partnerships include: an alliance of fisherfolk to promote sustainable fisheries practices, a network of environmental journalists, a partnership between one or more NGOs with one or more private sector partners to improve biodiversity management on private lands, or a working group focusing on reptile conservation.

Do not list the partnerships you formed with others to implement this project, unless these partnerships will continue after your project ends.

Name of Network / Partnership	Year Established	Country	Established by Project?	Purpose	Action

### 15. Sustainable Financing

If this Indicator is not relevant to your project, proceed to the next tab.

List any functioning sustainable financing mechanisms created or supported by your project. Sustainable financing mechanisms generate funding for the long-term (generally five or more years). These include, but are not limited to, conservation trust funds, debt-for-nature swaps, payment for ecosystem service (PES) schemes, and other revenue, fee or tax schemes that generate long-term funding for conservation. To be included, a mechanism must be delivering funds for conservation.

Name	Purpose	Date Established	Description	Country(s)	Project Intervention	Delivery of Funds	Action

### 16. Red List Species

If this Indicator is not relevant to your project, proceed to the next tab.

If the project included direct conservation interventions that benefited globally threatened species (CR, EN, VU), as per the IUCN Red List, add the species on this tab by clicking on +New.

Examples of interventions include: preparation or implementation of a conservation action plan, captive breeding programs, species habitat protection, species monitoring, patrolling to halt wildlife trafficking, and removal of invasive species.

Genus	Species	Common Name (Eng)	Status	Intervention	Population Trend at Site	Action

## 17. Additional Information

Provide details of any additional funding that you have secured to support this project. Review the information you provided in your proposal and revise as needed.

Total amount of additional funding (\$USD) as reported in your proposal:

Breakdown of additional funding in your proposal:

Actual total amount of additional funding (\$USD):

Enter the number value rounded off to the nearest dollar without any special characters (commas or decimals)

Breakdown of actual additional funding:

Provide a breakdown of actual additional funding (counterpart funding and in-kind) by source. Copy-paste from above if still accurate, otherwise, provide an update.

## 18. Other Information

Describe any lessons learned during your project:

“Lessons learned” are experiences you have gained that you think would be valuable successes worth replicating or practices that you would do differently if you had the chance. Consider lessons that would inform project design and implementation, and any other lessons relevant to the conservation community. CEPF Lessons Learned Guidelines are available [here](#).

Summarize successes or challenges related to the sustainability or replicability of your project’s results:

Use this space to provide any further comments or recommendations in relation to the project or CEPF:

CEPF is committed to transparent operations and to helping civil society groups share experiences, lessons learned and results. Final Completion and Impact Reports are made available on our website, [www.cepf.net](http://www.cepf.net), and publicized in our e-newsletter and other communications. Provide the contact details of your organization (organization name and generic email address) so that interested parties can request further information about your project:

Upload any additional files that support the information provided in this report. You may add one or multiple files. To add a file:

Step 1: Click Choose File / Step 2: Select the file you want to upload / Step 3: Click Upload

## 17.18 IBA Site Monitoring Tool

### PART I. ESSENTIAL INFORMATION

Name of the KBA:

Date:

Name of person completing the tool:

Postal address:

Telephone:

Email:

What does this form cover (tick one box):

(a) The whole KBA

(b) Just the following part of the KBA: \_\_\_\_\_

Do you live in or around the KBA?

(a) Yes

(b) No

If (b), when did you visit the KBA and for how long? \_\_\_\_\_

What was the reason for your visit? \_\_\_\_\_

### PART II. MONITORING THE KBA

*Note: you don't need to answer all the questions of fill in all the tables, please just put down the information that you have available.*

#### Threats to the KBA ('Pressure')

General comments on threats to the KBA and any changes since your last assessment (if relevant): \_\_\_\_\_

In the table below, please score each threat that is relevant to the key elements of biodiversity at the KBA, based on your observations and information, for Timing, Scope and Severity. In the 'details' column, please explain your scoring and make any other comments. Please note any changes in individual threats since the last assessment. If threats apply only to particular species, please say so.

Use the following guidelines to assign scores for Timing, Scope and Severity. The numbers are there to help you score, but are intended as guidance only: you don't need exact measurements to assign a score. For scoring combined threats, Timing, Scope and Severity scores should either be equal to or more than the highest scores for individual threats; scores cannot be less than those allocated to individual threats.

<u>Timing of selected threat</u>	<u>Timing score</u>
Happening now	3
Likely in short term (within 4 years)	2
Likely in long term (beyond 4 years)	1
Past (and unlikely to return) and no longer limiting	0

<u>Scope of selected threat</u>	<u>Scope score</u>
Whole area/population (>90%)	3
Most of area/population (50-90%)	2
Some of area/population (10-50%)	1
Small area/few individuals (<10%)	0
<u>Severity of selected threat</u>	<u>Severity score</u>
Rapid deterioration (>30% over 10 years or 3 generations whichever is the longer)	3
Moderate deterioration (10–30% over 10 years or 3 generations)	2
Slow deterioration (1–10% over 10 years or 3 generations)	1
No or imperceptible deterioration (<1% over 10 years)	0

#### Notes on threat types

1. *Agricultural expansion & intensification*. Threats from farming and ranching as a result of agricultural expansion and intensification, including silviculture, mariculture and aquaculture. Note that wood & pulp plantations includes afforestation, and livestock farming & ranching includes forest grazing. Agricultural pest control and agricultural pollution-specific problems apply to '5. Overexploitation, persecution & control', and '9. Pollution' respectively.
2. *Residential & commercial development*. Threats from human settlements or other non-agricultural land uses with a substantial footprint; resulting in habitat destruction and degradation, also causing mortality through collision. Note that domestic or industrial pollution-specific problems apply to '9. Pollution'.
3. *Energy production & mining*. Threats from production of non-biological resources; resulting in habitat destruction and degradation, also causing mortality through collision. Note that renewable energy includes windfarms.
4. *Transportation & service corridors*. Threats from long narrow transport corridors and the vehicles that use them; resulting in habitat destruction and degradation, disturbance and collision.
5. *Over-exploitation, persecution & control*. Threats from consumptive use of wild biological resources including both deliberate and unintentional harvesting effects; also persecution or control of specific species. Note that hunting includes egg-collecting, gathering includes firewood collection, and logging includes clear cutting, selective logging and charcoal production.
6. *Human intrusions & disturbance*. Threats from human activities that alter, destroy and disturb habitats and species associated with non-consumptive uses of biological resources.
7. *Natural system modifications*. Threats from actions that convert or degrade habitat in service of managing natural or semi-natural systems, often to improve human welfare. Note that 'other ecosystem modifications' includes intensification of forest management, abandonment of managed lands, reduction of land management, and under grazing. 'Dams & water management/use' includes construction and impact of dykes/dams/barrages, filling in of wetlands, groundwater abstraction, drainage, dredging and canalisation.
8. *Invasive & other problematic species & genes*. Threats from non-native and native plants, animals, pathogens and other microbes, or genetic materials that have or are predicted to have harmful effects on biodiversity (through mortality of species or alteration of habitats) following their introduction, spread and/or increase in abundance.

9. *Pollution*. Threats from introduction of exotic and/or excess materials from point and non-point sources causing mortality of species and/or alteration of habitats. Note that domestic and urban wastewater includes sewage and run-off; industrial & military effluents includes oils spills and seepage from mining; agricultural and forestry effluents and practices includes nutrient loads, soil erosion, sedimentation, high fertiliser input, excessive use of chemicals and salinisation; and air-borne pollutants includes acid rain.

10. *Geological events*. Threats from catastrophic geological events that have the potential to cause severe damage to habitats and species.

11. *Climate change & severe weather*. Threats from long-term climatic changes which may be linked to global warming and other severe climatic/weather events.

Threat types	Scores			Details
	Timing	Scope	Severity	
<b>1. Agricultural expansion &amp; intensification</b>				Give details of specific crop (e.g. oil palm) or animal (e.g. cows) & issue
Annual crops – Shifting agriculture				
– Smallholder farming				
– Agro-industry farming				
Perennial non-timber crops				
– Smallholder plantations				
– Agro-industry plantations				
Wood & pulp plantations				
– Smallholder plantations				
– Agro-industry plantations				
Livestock farming & ranching				
– Nomadic grazing				
– Smallholder grazing, ranching or farming				
– Agro-industry grazing, ranching or farming				
Marine & freshwater aquaculture				
– Subsistence/artisanal aquaculture				
– Industrial aquaculture				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>2. Residential &amp; commercial development</b>				Give details of type of development & issue
Housing & urban areas				
Commercial & industrial areas				
Tourism & recreation areas				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				

<b>3. Energy production &amp; mining</b>				Give details of specific resource & issue
Oil & gas drilling				
Mining and quarrying				
Renewable energy				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>4. Transportation &amp; service corridors</b>				Give details of specific type of transport & issue
Roads & railroads				
Utility & service lines				
Shipping lanes				
Flight paths				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>5. Over-exploitation, persecution &amp; control of species</b>				Give details of issue
Direct mortality of 'trigger' species – hunting & trapping				
– persecution/control				
Indirect mortality (bycatch) of 'trigger' species – hunting				
– fishing				
Habitat effects – hunting & trapping				
– gathering plants				
– logging				
– fishing & harvesting aquatic resources				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>6. Human intrusions &amp; disturbance</b>				Give details of specific activity & issue
Recreational activities				
War, civil unrest & military exercises				
Work & other activities				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>7. Natural system modifications</b>				Give details of the alteration & issue
Fire & fire suppression				
Dams & water management/use				
Other ecosystem modifications				

<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>8. Invasive &amp; other problematic species &amp; genes</b>				Give details of the invasive or problematic species & issue
Invasive alien species				
Problematic native species				
Introduced genetic material				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>9. Pollution</b>				Give details of pollutant, source if known (e.g. agricultural, domestic, industrial) & issue
Domestic & urban wastewater				
Industrial & military effluents				
Agricultural & forestry effluents & practices				
Garbage & solid waste				
Airborne pollutants				
Noise pollution				
Thermal pollution				
Light pollution				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>10. Geological events</b>				Give details of specific event & issue
Volcanic eruptions				
Earthquakes/tsunamis				
Avalanches/landslides				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>11. Climate change &amp; severe weather</b>				Give details of specific event & issue
Habitat shifting & alteration				
Drought				
Temperature extremes				
Storms & floods				
<i>If more than one threat is scored in this section, please also score here their Timing, Scope &amp; Severity in combination</i>				
<b>12. Other</b>				If the threat does not appear to fit in the scheme above, give details of the threat, its source if known, and how it is affecting the KBA
1.				
2.				

### Condition of bird populations and habitats ('State')

General comments on condition of the site and any changes since your last assessment (if relevant): \_\_\_\_\_

If you have estimates or counts of populations of KBA trigger species, please summarize these in the table below. Please note any major changes since the last assessment in the details column.

KBA trigger species or group	Population estimate	Details (major changes)

If you have information on the **area** of the natural habitats important for the KBA trigger species, please summarize it in the table below. Please note any major changes since the last assessment in the details column.

Habitat	Current area if known (include units, e.g. ha, km <sup>2</sup> )	Details (major changes)

If you have information on the **area** of the natural habitats important for KBA trigger species, summarize it in the table below. Please note any major changes since the last assessment in the details column.

Habitat	Current area if known (include units, e.g. ha, km <sup>2</sup> ) or code*	Details (major changes)

\* If you do not know the area of the habitat at the KBA, give your best assessment of the current habitat area at the site, in relation to its potential optimum if the site was undisturbed, based on the following codes: Good (overall >90% of optimum), Moderate (70–90%), Poor (40–70%) or Very Poor (<40%). Please justify your coding in the 'details' column

If you have information on the **quality** of the natural habitats important for KBA trigger species, please summarize it in the table below. Note any major changes since the last assessment in the details column.

Habitat	Quality rating*	Details (major changes)



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\* Give your best assessment of the average habitat quality across the sites, in terms of suitability for the KBA trigger species, using the following ratings: Good (overall >90% of optimum), Moderate (70–90%), Poor (40–70%) or Very Poor (<40%). The percentages relate to the population density of the KBA trigger species in its key habitat. Thus, 100% means that the species is at carrying capacity in its key habitat. Please justify your coding in the ‘details’ column

### Conservation actions taken at KBA (‘Response’)

General comments on actions taken at the site, including recent changes or developments: \_\_\_\_\_

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Please tick the box next to the statement that applies for each of the following categories: conservation designation; management planning; and conservation action. Please add any details and, where appropriate, give a brief explanation for your choice.

#### Conservation designation

- ☐ Whole area of KBA (>90%) covered by appropriate conservation designation
- ☐ Most of KBA (50-90%) covered (including the most critical parts for the KBA trigger species)
- ☐ Some of KBA (10-49%) covered
- ☐ Little/none of KBA (<10%) covered

Details and explanation: \_\_\_\_\_

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#### Management planning

- ☐ A comprehensive and appropriate management plan exists that aims to maintain or improve the populations of KBA trigger species
- ☐ A management plan exists but it is out of date or not comprehensive
- ☐ No management plan exists but the management planning process has begun
- ☐ No management planning has taken place

Details and explanation: \_\_\_\_\_

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#### Conservation action

- ☐ The conservation measures needed for the site are being comprehensively and effectively implemented
- ☐ Substantive conservation measures are being implemented but these are not comprehensive and are limited by resources and capacity
- ☐ Some limited conservation initiatives are in place (e.g. action by Local Conservation Groups)
- ☐ Very little or no conservation action is taking place

Details and explanation: \_\_\_\_\_

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## 17.19 Network Capacity Scorecard

# SCORECARD

ASSESSMENT OF CIVIL SOCIETY ORGANIZATION  
CAPACITY TO PARTICIPATE IN CONSERVATION-RELATED  
NETWORKS



**INSTRUCTIONS:** Complete the scorecard twice, at the beginning of the training program and again at the end. Should additional training sessions be needed, complete an additional scorecard when the sessions are completed. Scoring is as follows:

- 0 = “totally lacking”
- 1 = “insufficient”
- 2 = “mostly sufficient but some gaps remaining”
- 3 = “fully sufficient”

#	Criteria for assessment	Score
<b>Part I. General</b>		
1.	Understanding of the different types of networks, and their advantages and challenges.	
2.	Understanding of how different networks operate, and varying roles and responsibilities that participants/members can have.	
3.	Understanding of key networks present in the Caribbean Islands, their purpose, and their achievements or lack there-of.	
4.	Understanding of the criteria required for successful participation in a network.	
<b>Part II. Specific (once a network is targeted for participation)</b>		
5.	Does the CSO have a goal/mission, and is it relevant to the purpose of the network? Do the CSO and the network have a shared commitment to the network goal?	
6.	Does the CSO acknowledge the expertise and competence within the network, and in the work that the network accomplishes?	
7.	Does the CSO have links and connections that they can bring to the network, also known as a “proven capacity to influence”?	
8.	Is the CSO willing to collaborate, and confident enough to share their own work and expertise? Does the CSO have sufficient knowledge to contribute relevant to the work of the network?	
9.	Does the CSO have the ability to prioritize participation in the network, in terms of time and attention?	
10.	Does the CSO have the necessary resources (material and financial) to participate effectively in the network?	
<b>TOTAL</b>		

## 17.20 Network Health Scorecard

### How to use this scorecard:

- Ask each network member to fill out an individual scorecard.
- Enter individual scores in a collective table, indicating the number of members selecting particular scores to tabulate network results.
- Together consider the results. What patterns do you see? What results need further discussion? Over time, what has improved? What hasn't? Why?

Statement	1 (not so much)	2	3	4	5 (totally)
<b>NETWORK PURPOSE</b>					
1. All members share a common purpose for the network.					
2. Together, members have identified strategic goals and objectives for the network.					
3. Network plans reflect network goals.					
<b>NETWORK PERFORMANCE</b>					
4. Members are working jointly to advance network goals.					
5. Members are adding value to each other's work.					
6. Members are creating new knowledge or insights together.					
7. The way the network communicates with stakeholders builds support for the network.					
8. The network is creating value for the constituents it serves.					
9. The network is able to attract additional network funds, as needed.					
10. Members honor their commitments to the network.					
11. The network is meeting its strategic goals and objectives.					
12. Members are achieving more together than they could alone.					
<b>NETWORK OPERATIONS</b>					
13. Decision making processes encourage members to contribute and collaborate.					
14. The network anticipates, surfaces, and addresses conflict when it arises.					
15. The network's internal communications systems are serving it well.					
16. All members are contributing time and resources to the network.					

17. The work of the network is attuned to the comfort and energy levels of members.					
18. Members reflect on network experience and adjust network practice accordingly.					
19. The network has mechanisms in place to promote accountability among members (e.g., agreements, understandings).					
<b>NETWORK CAPACITY</b>					
20. As a network, members have the material resources needed to advance network goals.					
21. As a network, members have the skills they need to advance network goals.					
22. As a network, members have the connections they needed to advance goals.					

## 17.21 CI Code of Ethics

### Introduction and Purpose

Conservation International's reputation derives from our commitment to our core values: **Integrity, Respect, Courage, Optimism, and Passion and Teamwork**. CI's Code of Ethics (the "Code") provides guidance to CI employees, consultants, independent experts, interns, and volunteers in living CI's core values, and outlines minimum standards for ethical conduct which all staff must adhere to.

CI relies on the personal integrity, good judgement and common sense of individuals acting on behalf of the organization to deal with issues not expressly addressed by the Code. Failure of a staff member to adhere to the Code may result in disciplinary action up to and, including discharge from employment and filing of criminal charges.

CI employees, consultants, independent experts, interns and volunteers shall:

### Integrity

- Act in good faith, responsibly, with due care, competence and diligence and maintain the highest professional standards at all times.
- Comply with CI policies as well as all applicable laws, rules and regulations, domestic and international, in every country where CI works.
- Reflect actual expenses or work performed in expense reports, timesheets, and other records.
- Never engage in any of the following acts: falsification of business documents, theft, embezzlement, diversion of funds, bribery, or fraud.

### Transparency

- Perform duties, exercise authority and use CI resources and assets in the interest of the organization and never for personal benefit.
- Avoid conflicts of interest and not allow independent judgment to be compromised.
- Not accept gifts or favors in excess of \$150 from vendors, consultants or grantees.

### Accountability

- Disclose to a supervisor and the General Counsel's Office, at the earliest opportunity, any information they have or become aware of, that may result in a real or perceived conflict of interest or impropriety.
- Exercise responsible stewardship over CI's assets and resources; spend funds wisely, in the best interests of CI and in furtherance of its mission. Adhere to and respect the wishes of its donors.
- Manage programs, activities, staff and operations in a professionally sound manner, with knowledge and wisdom, and with a goal of increasing overall organizational performance.

### Confidentiality

- Not disclose confidential information obtained during the course of their work at CI.
- Protect confidential relationships between CI and its grantees, donors, and vendors.

### Mutual Respect and Collaboration

- Assist its partners in building the necessary capacity to carry out conservation programs efficiently and effectively and to manage funds in a fiscally and operationally prudent manner.

- Create constructive relationships with grant-seekers and other partners based on mutual respect and shared goals by communicating clearly and timely, and respecting our partners' expertise in their field of knowledge.
- Engage with Indigenous peoples and local communities in which CI works in a positive and constructive manner that respects the culture, laws, and practices of those communities, with due regard for the right of free, prior and informed consent.

Any violations of the Code of Ethics should be reported to Conservation International via its Ethics Hotline at [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com).

## 17.21 Guidelines on Preventing and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants

### Purpose and General Principles

1. These Guidelines are designed to prevent and combat Fraud and Corruption (as hereinafter defined) that may occur in connection with the use of proceeds of financing from the International Bank for Reconstruction and Development (IBRD) or the International Development Association (IDA) during the preparation and/or implementation of projects supported by Investment Project Financing (IPF). They set out the general principles, requirements and sanctions applicable to persons and entities which receive, are responsible for the deposit or transfer of, or take or influence decisions regarding the use of, such proceeds.
2. All persons and entities referred to in paragraph 1 above must observe the highest standard of ethics. Specifically, all such persons and entities must take all appropriate measures to prevent and combat Fraud and Corruption, and refrain from engaging in, Fraud and Corruption in connection with the use of the proceeds of the IBRD or IDA financing.

### Legal Considerations

3. The Legal Agreement<sup>19</sup> providing for a Loan<sup>20</sup> governs the legal relationships between the Borrower<sup>21</sup> and the Bank<sup>22</sup> with respect to the particular project for which the Loan is made. The responsibility for the implementation of the project<sup>23</sup> under the Legal Agreement, including the use of Loan proceeds, rests with the Borrower. The Bank, for its part, has a fiduciary duty under its Articles of Agreement to “make arrangements to ensure that the proceeds of any loan are used only for the purposes for which the loan was granted, with due attention to considerations of economy and efficiency and without regard to political or other non-economic influences or considerations.”<sup>24</sup>

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<sup>19</sup> References in these Guidelines to “Legal Agreement” include any Loan Agreement providing for an IBRD loan or Financing Agreement providing for an IDA credit or grant, any Guarantee Agreement providing for a guarantee by the Member Country of such IBRD Loan, any agreement providing for a project preparation advance or Institutional Development Fund (IDF) Grant, Trust Fund Grant or Loan Agreement providing for a recipient-executed trust fund grant or loan in cases where these Guidelines are made applicable to such agreement, and any Project Agreement with a Project Implementing Entity related to any of the above.

<sup>20</sup> References to “Loan” or “Loans” include IBRD IPF loans as well as IDA IPF credits and grants, project preparation advances, IDF grants and recipient-executed trust fund grants or loans for projects to which these Guidelines are made applicable under the agreement providing for such grant and/or loan. These Guidelines do not apply to (i) Program for Results (PforR) financing or (ii) Development Policy Operations (DPOs), unless the Bank agrees with the Borrower on specified purposes for which Loan proceeds may be used, or (iii) IBRD/IDA guarantee operations.

<sup>21</sup> References in these Guidelines to the “Borrower” include the borrower of an IBRD loan or the recipient of an IDA credit or grant or of a trust fund grant or loan. In some cases, an IBRD Loan may be made to an entity other than the Member Country. In such cases, references in these Guidelines to “Borrower” include the Member Country as Guarantor of the Loan, unless the context requires otherwise. In some cases, the project, or a part of the project, is carried out by a Project Implementing Entity with which the Bank has entered into a Project Agreement. In such cases, references in these Guidelines to the “Borrower” include the Project Implementing Entity, as defined in the Legal Agreement.

<sup>22</sup> References in these Guidelines to the “Bank” include both IBRD and IDA, whether acting in their own capacity or as administrator of trust funds financed by other donors.

<sup>23</sup> References in these Guidelines to the “project” means the Project as defined in the Legal Agreement.

<sup>24</sup> IBRD’s Articles of Agreement, Article III, Section 5(b); IDA’s Articles of Agreement, Article V, Section 1(g).

These Guidelines constitute an important element of those arrangements and are made applicable to the preparation and implementation of the project as provided in the Legal Agreement.

### **Scope of Application**

4. The following provisions of these Guidelines cover Fraud and Corruption that may occur in connection with the use of Loan proceeds during the preparation and implementation of a project financed, in whole or in part, by the Bank. These Guidelines cover Fraud and Corruption in the direct diversion of Loan proceeds for ineligible expenditures, as well as Fraud and Corruption engaged in for the purpose of influencing any decision as to the use of Loan proceeds. All such Fraud and Corruption is deemed, for purposes of these Guidelines, to occur in connection with the use of Loan proceeds.

5. These Guidelines apply to the Borrower and all other persons or entities which either receive Loan proceeds for their own use (e.g., “end users”), persons or entities such as fiscal agents which are responsible for the deposit or transfer of Loan proceeds (whether or not they are beneficiaries of such proceeds), and persons or entities which take or influence decisions regarding the use of Loan proceeds. All such persons and entities are referred to in these Guidelines as “recipients of Loan proceeds”, whether or not they are in physical possession of such proceeds.<sup>25</sup>

6. These Guidelines apply to the procurement of goods, works, non-consulting services and consulting services financed (in whole or in part) out of the proceeds of a Loan from the Bank. Additional specific requirements relating to Fraud and Corruption in connection with such procurement are set out in Annex IV of the World Bank Procurement Regulations for Borrowers under Investment Project Financing, dated July 1, 2016, as the same may be amended from time to time.

### **Definitions of Practices Constituting Fraud and Corruption**

7. These Guidelines address the following defined sanctionable practices when engaged in by recipients of Loan proceeds in connection with the use of such proceeds:<sup>26</sup>

- a. A “corrupt practice” is the offering, giving, receiving or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party.<sup>27</sup>
- b. A “fraudulent practice” is any act or omission, including a misrepresentation, that knowingly or recklessly<sup>28</sup> misleads, or attempts to mislead, a party to obtain a financial or other benefit or to avoid an obligation.
- c. A “collusive practice” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party.
- d. A “coercive practice” is impairing or harming, or threatening to impair or harm, directly

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25 Certain persons or entities may fall under more than one category identified in paragraph 5 of these Guidelines. A financial intermediary, for example, may receive payment for its services, will transfer funds to end users and will make or influence decisions regarding the use of Loan proceeds.

26 Unless otherwise specified in the Legal Agreement, whenever these terms are used in the Legal Agreement, including in the applicable General Conditions, they have the meanings set out in paragraph 7 of these Guidelines.

27 Typical examples of corrupt practice include bribery and “kickbacks”.

28 To act “knowingly or recklessly”, the fraudulent actor must either know that the information or impression being conveyed is false, or be recklessly indifferent as to whether it is true or false. Mere inaccuracy in such information or impression, committed through simple negligence, is not enough to constitute fraudulent practice.



or indirectly, any party or the property of the party to influence improperly the actions of a party.

- e. An “obstructive practice” is (i) deliberately destroying, falsifying, altering or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Bank investigation into allegations of a corrupt, fraudulent, coercive or collusive practice; and/or threatening, harassing or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or (ii) acts intended to materially impede the exercise of the Bank’s contractual rights of audit or access to information.<sup>29</sup>

8. The above practices, as so defined, are referred to collectively and individually in these Guidelines as “Fraud and Corruption”.

#### **Borrower Actions to Prevent and Combat Fraud and Corruption in connection with the Use of Loan Proceeds**

9. In furtherance of the above-stated purpose and general principles, the Borrower will:

- a. take all appropriate measures to prevent Fraud and Corruption in connection with the use of Loan proceeds, including (but not limited to) (i) adopting appropriate fiduciary and administrative practices and institutional arrangements to ensure that the proceeds of the Loan are used only for the purposes for which the Loan was granted, and (ii) ensuring that all of its representatives<sup>12</sup> involved with the project, and all recipients of Loan proceeds with which it enters into an agreement related to the Project, receive a copy of these Guidelines and are made aware of its contents;
- b. immediately report to the Bank any allegations of Fraud and Corruption in connection with the use of Loan proceeds that come to its attention;
- c. if the Bank determines that any person or entity referred to in (a) above has engaged in Fraud and Corruption in connection with the use of Loan proceeds, take timely and appropriate action, satisfactory to the Bank, to address such practices when they occur;
- d. include such provisions in its agreements with each recipient of Loan proceeds as the Bank may require to give full effect to these Guidelines, including (but not limited to) provisions (i) requiring such recipient to abide by paragraph 10 below; (ii) requiring such recipient to permit the Bank to inspect all accounts, records and other documents relating to the project required to be maintained pursuant to the Legal Agreement, and to have them audited by, or on behalf of, the Bank; (iii) providing for the early termination or suspension by the Borrower of the agreement if such recipient is declared ineligible by the Bank under paragraph 11 below; and (iv) requiring restitution by such recipient of any amount of the loan with respect to which Fraud and Corruption has occurred;

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<sup>29</sup> Such rights include those provided for, *inter alia*, in paragraph 9(d) of these Guidelines.

- e. cooperate fully with representatives<sup>30</sup> of the Bank in any investigation into allegations of Fraud and Corruption in connection with the use of Loan proceeds; and
- f. in the event that the Bank declares any recipient of Loan proceeds ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, (i) exercising the Borrower's right to terminate early or suspend the agreement between the Borrower and such recipient and/or (ii) seeking restitution.

### **Other Recipients of Loan Proceeds**

10. In furtherance of the above-stated purpose and general principles, each recipient of Loan proceeds which enters into an agreement with the Borrower (or with another recipient of Loan proceeds) relating to the Project will:

- a) carry out its project-related activities in accordance with the above-stated general principles and the provisions of its agreement with the Borrower referred to in paragraph 9(d) above; and include similar provisions in any agreements related to the project into which it may enter with other recipients of Loan proceeds;
- b) immediately report to the Bank any allegations of Fraud and Corruption in connection with the use of Loan proceeds that come to its attention;
- c) cooperate fully with representatives of the Bank in any investigation into allegations of Fraud and Corruption in connection with the use of Loan proceeds;
- d) take all appropriate measures to prevent Fraud and Corruption by its representatives (if any) in connection with the use of Loan proceeds, including (but not limited to): (i) adopting appropriate fiduciary and administrative practices and institutional arrangements to ensure that the proceeds of the Loan are used only for the purposes for which the Loan was granted, and (ii) ensuring that all its representatives receive a copy of these Guidelines and are made aware of its contents;
- e) in the event that any representative of such recipient is declared ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, either removing such representative from all duties and responsibilities in connection with the project or, when requested by the Bank or otherwise appropriate, terminating its contractual relationship with such representative; and
- f) in the event that it has entered into a project-related agreement with another person or entity which is declared ineligible as described in paragraph 11 below, take all necessary and appropriate action to give full effect to such declaration by, among other things, (i) exercising its right to terminate early or suspend such agreement, and/or (ii) seeking restitution.

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<sup>30</sup> References in these Guidelines to "representatives" of an entity also include its officials, officers, employees and agents.

## Actions by the Bank in Cases of Fraud and Corruption

11. In furtherance of the above-stated purpose and general principles, the Bank has the right to sanction, in accordance with prevailing World Bank Group sanctions policies and procedures, any individual or entity<sup>31</sup> other than the Member Country<sup>32</sup>, including (but not limited to) declaring such individual or entity ineligible publicly, either indefinitely or for a stated period of time: (i) to be awarded a Bank-financed contract; (ii) to benefit from a Bank-financed contract, financially or otherwise, for example as a sub-contractor; and (iii) to otherwise participate in the preparation or implementation of the project or any other project financed, in whole or in part, by the Bank.

- a. if at any time the Bank determines<sup>33</sup> that such individual or entity has engaged in Fraud and Corruption in connection with the use of Loan proceeds;<sup>34</sup>
- b. if another financier with which the World Bank Group has entered into an agreement for the mutual enforcement of debarment decisions<sup>35</sup> has declared such individual or entity ineligible to receive proceeds of financings made by such financier or otherwise to participate in the preparation or implementation of any project financed in whole or in part by such financier as a result of a determination by such financier that the individual or entity has engaged in Fraud and Corruption in connection with the use of the proceeds of a financing made by such financier; or
- c. if the World Bank Group has found the individual or entity to be a non-responsible vendor on the basis of Fraud and Corruption in connection with World Bank Group corporate procurement.

## Miscellaneous

12. The provisions of these Guidelines do not limit any other rights, remedies<sup>36</sup> or obligations of the Bank or the Borrower under the Legal Agreement or any other document to which the Bank and the Borrower are both parties.

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<sup>31</sup> As in the case for bidders in the procurement context, the Bank may also sanction individuals and entities which engage in Fraud or Corruption in the course of applying to become a recipient of Loan proceeds (e.g., a bank which provides false documentation so as to qualify as a financial intermediary in a Bank-financed project) irrespective of whether they are successful.

<sup>32</sup> For purposes of these Guidelines, "Member Country" includes officials and employees of the national government or of any of its political or administrative subdivisions, and government owned enterprises and agencies that are not eligible to compete for and be awarded Bank-financed contracts in accordance with paragraph 3.22 of the World Bank Procurement Regulations for IPF Borrowers.

<sup>33</sup> The Bank has established a Sanctions Board, and related procedures, for the purpose of making such determinations. The procedures of the Sanctions Board sets forth the full set of sanctions available to the Bank.

<sup>34</sup> The sanction may, without limitation, also include restitution of any amount of the Loan with respect to which Fraud and Corruption has occurred. The World Bank Group may publish the identity of any individual or entity declared ineligible under paragraph 11 of these Guidelines.

<sup>35</sup> Also sometimes referred to as "cross-debarment."

<sup>36</sup> The Legal Agreement provides the Bank with certain rights and remedies which it may exercise with respect to the Loan in the event of Fraud and Corruption in connection with the use of Loan proceeds, in the circumstances described therein.

## 17.23 Interim Financial Report Template

Name/Number of Project							
Sources and Uses of Funds							
For the Period Ending							
	Current Period			Cumulative			Forecast
	Actual	Budgeted	Variance	Actual	Budgeted	Variance	Next 6 Months
<b>RECEIPTS</b>							
World Bank							
Advance							
Reimbursement							
Direct Payment							
Total Receipts (A)	-	-	-	-	-	-	-
<b>LESS EXPENDITURES</b>							
Component 1							
Component 2							
Component 3							
Component4							
Total Expenditures (B)	-	-	-	-	-	-	-
<b>RECEIPTS LESS EXPENDITURES '</b>							
Net Change in Cash (A - B)	-						
Foreign Exchange Adjustment							
<b>CASH BALANCES</b>							
<b>Opening Cash Balances</b>							
Designated Account	-						
Project Account	-						
Total Opening Balance	-						
<b>Closing Cash Balances</b>							
Designated Account							
Project Account							
Total Closing Balance	-						

Name/Number of Project Use of Funds by Project Components For the Period Ending							
	Current Period			Cumulative			Forecast
	Actual	Budgeted	Variance	Actual	Budgeted	Variance	Next 6 Months
Component 1 :			-				
Component 2							
Component 3							
Component 4							
Total	-	-	-	-	-	-	

Name/Number of Project Use of Funds by Disbursement Categories For the Period Ending						
Categories	Current Period	Cumulative				
	Actual	Amount per IFR	Amount per Client Connection	Difference	Comments	Total Allocation per legal agreements
1. Operating Costs						
2. Consultant Services						
3. Subgrants						
4. Audits						
5. Indirect Costs						
Total	-	-	-	-	-	-

DESIGNATED ACCOUNT RECONCILIATION STATEMENT		
LOAN/CREDIT /PPF /COFINANCIER NUMBER		
ACCOUNT NUMBER	WITH (BANK)	
		US\$
1 TOTAL ADVANCED BY WORLD BANK (OR COFINANCIER)		
2 LESS: TOTAL AMOUNT DOCUMENTED BY WORLD BANK		-
3 PRESENT OUTSTANDING AMOUNT ADVANCED TO THE DESIGNATED ACCOUNT (1 - 2)		-
4 BALANCE OF DESIGNATED ACCOUNT & PROJECT ACCOUNT PER ATTACHED BANK RECONCILIATION AS OF DATE		
5 PLUS: TOTAL AMOUNT TO BE DOCUMENTED IN THIS APPLICATION NO.		
6 PLUS: TOTAL AMOUNT WITHDRAWN AND NOT YET DOCUMENTED		
REASON:		
7 PLUS: AMOUNTS CLAIMED IN PREVIOUS APPLICATIONS NOT YET CREDITED AT DATE OF BANK STATEMENTS		
APPLICATION NO.		
WA#XXX		
WA#XX		
SUBTOTAL OF PREVIOUS APPLICATIONS NOT YET CREDITED		
8 LESS: INTEREST EARNED		
9 TOTAL ADVANCE ACCOUNTED FOR (NO. 4 THROUGH NO. 9)		-
10	DIFFERENCE (3 - 9)	-
11 EXPLANATION OF ANY DIFFERENCE SHOWN IN LINE 10:		
<div> <div>DATE:</div> <div>SIGNATURE:</div> <div>TITLE:</div> </div>		

<b>Name/Number of Project</b> <b>Cash Forecast</b> <b>For the Period Ending</b>	
Eligible Expenditures to be financed by the World Bank for the Next 6 Months	US\$ -
Less Direct payments to be made by the World Bank	-
Eligible Expenditures to be financed by the World Bank from the Designated Accounts	-
Less:	
Current Balance in the Designated Account	-
Current Balance in the Project Account	
<b>Total Current Balance</b>	-
-	
<b>Amount Requested to be Advanced to Designated Account</b>	-

Attachment [SJ]

Payments Made during Reporting Period Against Contracts Subject to the Bank's Prior Review

<b>Contract</b>		<b>Contract</b>	<b>Contract</b>	<b>Date of Date of WB's Non</b>	<b>Amount Amount Paid to</b>	<b>WB's Share of</b>
Number	Supplier	Date	Amount	Objection to Contract	Supplier during Period	Amt Paid to Supplier during Period