

BIOFUND SELECTION MANUAL
(APPENDIX I to the BIOFUND MOP)



Contents

1. PRESENTATION.....	4
2. PROJECT SELECTION PROCEDURE	5
3. COMMUNICATION OF RESULTS	8
4. POST APPROVAL.....	9
5. GRANT AGREEMENT	9
6. APPENDICES	11

ACRONYMS

AC(s)	Conservation Area(s)
AF	Financial assistant
ANAC	National Administration of Conservation Areas
CA	Board of Directors
CS	Selection Committee
CTF	Conservation Trust Funds
BIOFUND	Foundation for the Conservation of Biodiversity
DAF	Director of Administration and Finance
DE	Executive Director
KfW	Kreditanstalt für Wiederaufbau (German Development Bank)
METT	Management Effectiveness Tracking Tool
ME	Project Implementation Manual
MOP	Operational Manual
MS	Selection Manual
Mt	Meticais
ONG	Non-Governmental Organisation
NIB	Banking Identification Number
NUIT	Single Tax Identification Number
PdA	Plan of Activities
PFI	Implementation Focal Point
PP	Procurement Plan
SGF	Financial Management System
USD	US dollars

1. Presentation

Among the various tools of conservation funds, the Project Selection Manual is of particular importance when it comes to the phase of regular financing for conservation. The Selection Manual and its appendices document the principles, rules and procedures which comprise the internal regulations of BIOFUND for selecting Conservation Areas to be financed in each cycle. It describes the selection procedure up to the signing of the agreement with the beneficiary. Subsequent steps are governed by the Project Implementation Manual.

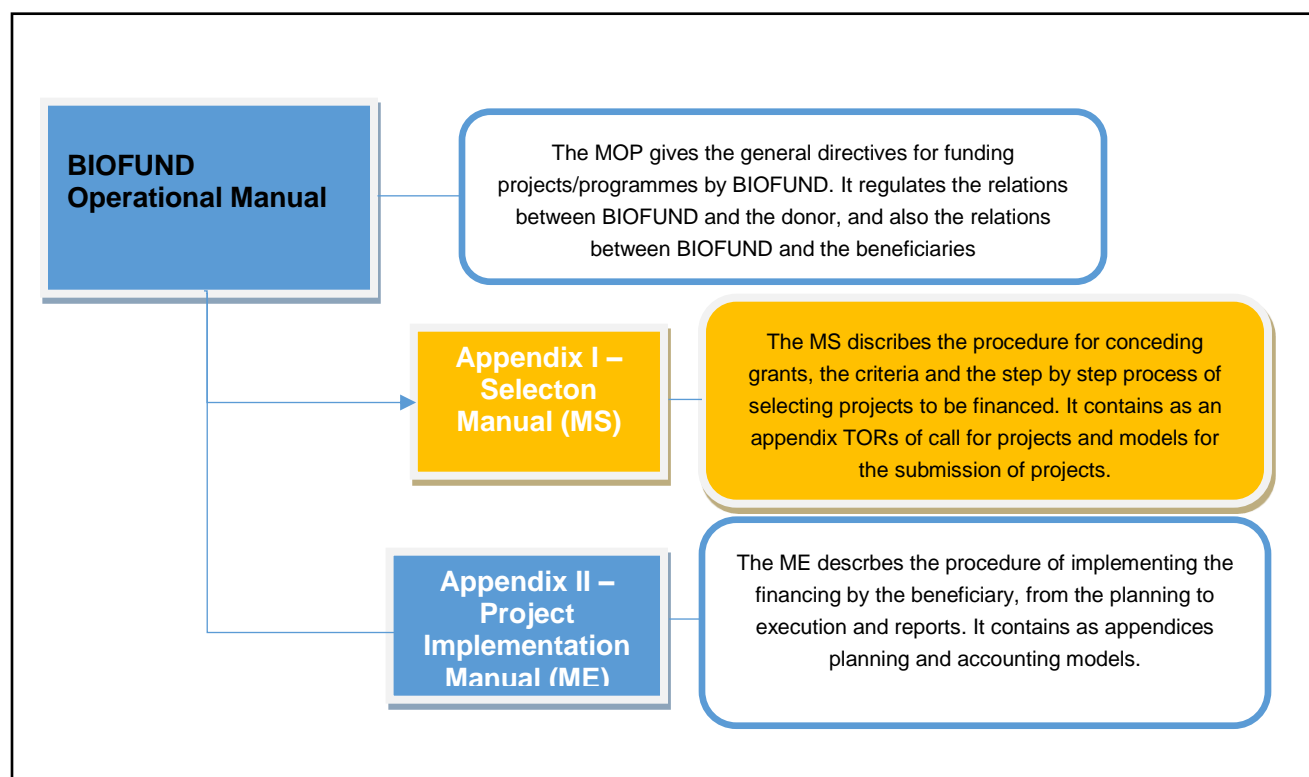


Figure 1: Logic of the document (MOP and appendices)

The procedures detailed in this manual include the launching of financing cycles, as well as the definition of concrete elements to be specified in each cycle, and the general criteria for the prioritisation and eligibility of potential beneficiary Conservation Areas. The Manual envisages the eventual need for adjustment in line with the sources and specificities of the financing to be made available.

As described in the BIOFUND MOP, different modalities of selection as eligible for the *Standard Grants* are recognised, namely induced eligible processes (competing and not spontaneous ones (guided and not guided)). This manual presents the information specific to the competitive process oriented to the Conservation Areas.

2. Project Selection Procedure

The Project Selection Procedure detailed below concerns the procedures applicable to the *Standard Grants* modality, designed to support the running costs of Conservation Areas.

Despite the selection process described below, key factors will be taken into consideration to analyse requests for BIOFUND Standard Grants, such as the Conservation Area management plan and/or equivalent documents, business plans, annual activity plans adjusted to the government's plans, related public policies and/or State Budget.

The Selection Committee (CS) is responsible for the assessment and selection of proposals for projects to be supported by BIOFUND, as well as to arbitrate and head the assessment process and selection of the beneficiaries of the project financing cycles, in accordance with the terms of this manual.

Composition of the CS:

- A technical team, consisting of members of the Executive Directorate of BIOFUND
- A jury, formed by the Executive Directorate of BIOFUND, complemented by individuals invited by the Board of Directors of BIOFUND
- Board of Directors of BIOFUND.

Attributes of the CS:

- a. Define concrete elements to be specified in drawing up and launching each financing cycle, and the general criteria for the prioritisation and eligibility of potential beneficiaries;
- b. Establish the Terms of Reference of the projects to be financed in each cycle, including the eligibility criteria, the calendar and the selection procedures;
- c. Guarantee publication and widespread dissemination of the tender announcements;
- d. Screen the proposals received and grant eligibility to each of them in accordance with the terms of reference of each project tender;
- e. Analyse and assess the proposals in accordance with the terms of reference and the thematic lines of financing;
- f. Draw up minutes of each of the meetings during the drafting of the proposals;
- g. Follow and assess implementation of the projects selected from the reference marks, discuss critical factors and recommend how to improve the following selection processes.

Selection will be based on applying 2 categories of criteria: Management Capacity; and Proposal Quality (Appendix 1). It consists of 7 successive steps, listed below:

Step 1 – Preparation of the Tender

The stage of tender preparation covers the assessment of the performance under the last financing cycle (when applicable), and the revision and validation of the planning of the

next financing cycle. The announcement of the tender, the Terms of Reference, and the forms to be filled out (defined by the CS) shall be made available publicly to those interested.

Launching the tender in each cycle is preceded by the approval, by the Board of Directors of BIOFUND, and the *no objection* of the donors of the resources to be allocated.

During project selection, BIOFUND shall adopt good management practices, including the requirement that all questions about the Tender be sent to BIOFUND only by e-mail, and the answers shall be shared with all the bidders. BIOFUND may only accept proposals sent by the deadline specified in the tender.

Step 2 – Formation of the Technical Team

The technical team is the first instance for screening the proposals submitted and shall consist of people appointed by BIOFUND. Once the proposals have been received, the technical team shall pre-assess them according to the eligibility criteria (example in Appendix 2) and the consistency of information provided by the proponent.

Step 3 – Eligibility Criteria

Once the proposals have been received, the technical team shall pre-assess them to determine whether they are admissible based on the following elimination factors:

- Proposal sent beyond the deadline;
- Incomplete proposal;
- The minimum and maximum values and deadlines for implementation not respected;
- Proposals sent by institutions which are not eligible

Proposals considered admissible receive a registration number and pass on to the next stage.

Step 4 – Creation of a dossier by the Technical Team and preliminary awarding of scores

The technical team then places the admissible projects in a dossier which contains two types of data, namely basic information and technical assessments

The basic information includes:

- Information on the biodiversity of the area based on the data base of BIOFUND and its partners;
- Information on the relevance of the proposal faced with the identified threats to biodiversity;

- Information on the degree of adjustment of the proposal to the Conservation Area's management plan and other management instruments of the Conservation Area.

The technical analyses consist of:

- Assessment of Administrative and Financial Capacity based on a specific assessment instrument (Appendix 4);
- METT Score (Management Effectiveness Tracking Tool – Appendix 3)

The dossiers will be sent to the jury for the second stage of the assessment.

Step 5 – Scoring by individuals on the Jury

The Jury, consisting of the Executive Directorate of BIOFUND, complemented by individuals invited by the BIOFUND Board of Directors, is the main body for assessing the proposals. Each tender will have a new jury, but it shall always include people of high technical competence.

Based on the dossier generated by the technical team, the jury complements this with an individual analysis from each member focused, among other criteria, on the quality of the proposals, taking into consideration the degree of compliance with the tender conditions, the coherence and consistency of the document, the degree of complementarity with other sources of financing of the Conservation Area and, finally, the probabilities of success, including risk analysis based on evidence presented in the proposals.

Each member of the jury individually gives a score to each proposal, taking into consideration:

- The degree of compliance with the tender conditions;
- Coherence and consistency of the document;
- Budgetary coherence;
- The degree of complementarity with other sources of financing of the Conservation Area;
- Probabilities of success including risk analysis based on evidence presented in the proposal.

Step 6 – Final Classification by the Jury

Once the individual classifications have been received from each member, the jury will meet in plenary session and, based on the points obtained, weighted by information from the technical team, will give the final classification of the proposals and make its recommendations to the Board of Directors.

Step 7 – Board of Directors

The Board of Directors is the final decision making body in the selection procedure. It will take its decision based on the complete dossier of the proposals which contains the assessment made by the technical team and the recommendations of the jury, but may also take into consideration the need to diversify the BIOFUND portfolio in geographical and habitat terms and a balance between marine and terrestrial areas, among others. Its decisions lead to one of several possible situations:

- Project Approved;
- Project Approved with Recommendations;
- Project Approved with Conditions and
- Project Rejected.

The Board of Directors shall classify the proposals, and the best classified shall be supported, in accordance with the availability of resources. This means that some proposals could be rejected, even if they meet the conditions of the tender.

After publication of the minutes of the meeting of the Board of Directors, the proponents of the proposals approved will be called upon by the BIOFUND Executive Directorate in order to formalise grantagreements.

Those Projects approved with conditions should include the suggestions for alterations or justify their non-inclusion in a satisfactory manner. It will be the task of the Executive Directorate to analyse acceptance of the recommendations and compliance with the suspensive conditions, including admission of the justifications given by the proponent. The projects approved with Conditions must obligatorily include them in the Projects within the previously established deadlines.

This stage of the selection procedure is by elimination – that is, if the proponent does not respond to the recommendations and conditions within the stipulated deadline, or these have not been achieved to the satisfaction of the BIOFUND Board of Directors, the proposal will be rejected.

3. Communication of Results

BIOFUND shall communicate the results of the tender individually to the proponents after approval by the Board of Directors. This communication shall provide details about the assessment of the proposals and shall publish the final list of projects approved.

The Projects Rejected shall be informed of the reasons for rejection, in order to improve their performance in subsequent selection procedures. After the decision of the BIOFUND Board of Directors, there is no appeal.

The assessment of each proposal shall not be shared with all the proponents. Each proponent will only have access to its own score.

4. Post Approval

Once the Conservation Areas that will receive support from BIOFUND have been selected, work with the beneficiaries begins, in order to improve the proposals technically, as well as to test the procedures to be observed in implementing each project.

5. Grant Agreement

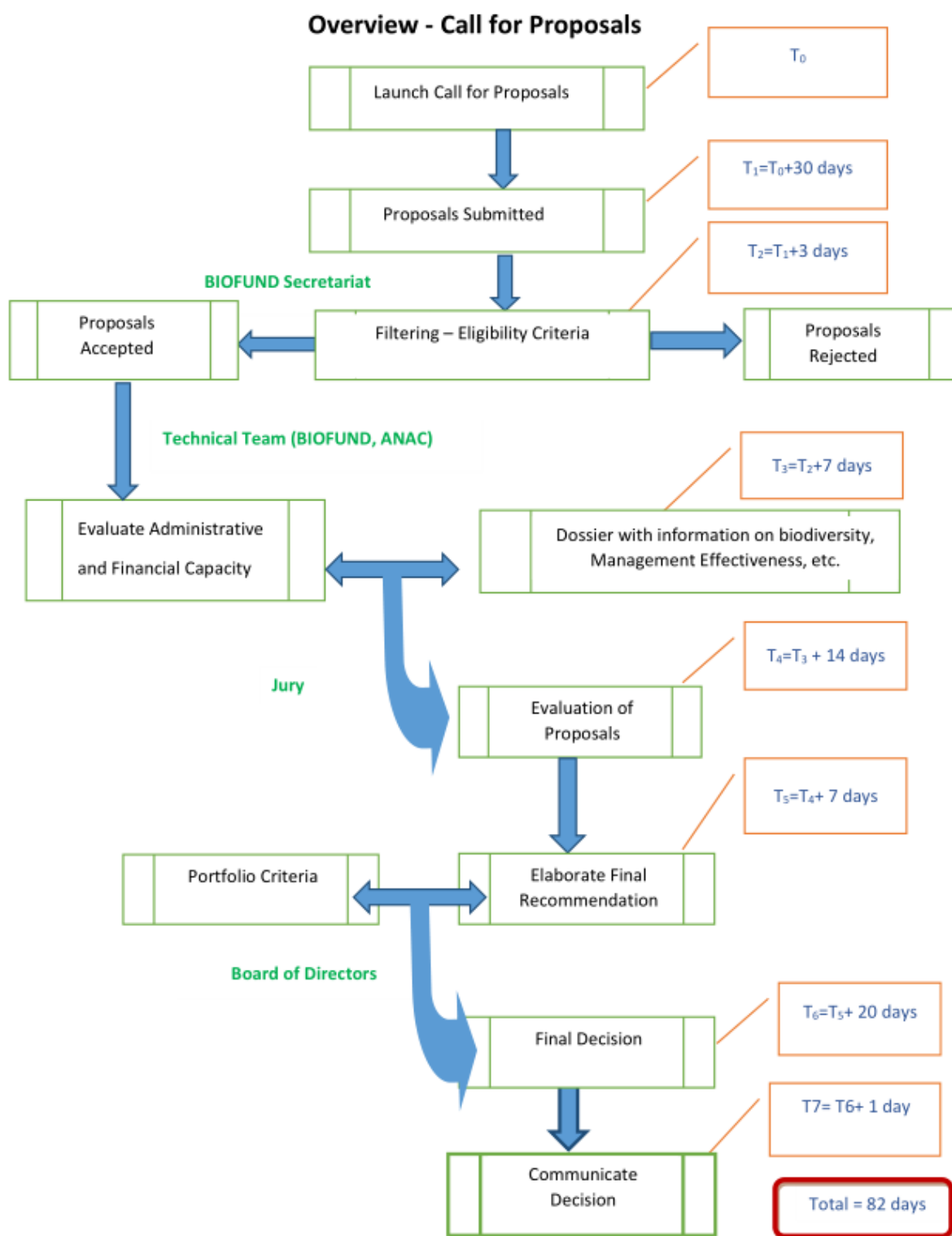
Following the period of budgetary and activity plan adjustments, BIOFUND and the Conservation Areas shall draw up and sign a grant agreement. In the event that the beneficiary does not have legal status, the agreement shall be signed with the legal entity that supervises the beneficiary (model in Appendix 5).

As from the signature of the agreement, the proposal will be designated as a "project", with a specific code integrating the registration number attributed during the pre-assessment stage.

To attest to their legal and financial suitability, and to allow formalisation of the agreement, for implementation of the resources managed by BIOFUND, the beneficiaries shall present an original, or notarized copy where needed, of the following documents:

- a. Decree setting up the Conservation Area (Approval by the competent body) and published in the official gazette ("Boletim da República");
- b. Dispatch appointing the Administrator of the Conservation Area and the various members of the management in office;
- c. Single Tax Identification Number - NUIT

The fluxgram below demonstrates the various stages of the selection process for BIOFUND beneficiaries.



6. Appendices

APPENDIX 1 – Criteria for Assessing Proposals

CRITERIA	Observations
Management Capacity	
Effectiveness of management	Using the METT (<i>Management Effectiveness Track Tool</i>) data collected most recently by ANAC. See the appended METT file.
Organisational and financial capacity of the proponent	Score based on analysis of structural aspects, human resources, existing means and history of management of funds. The assessment tool file is appended.
Quality of the proposal	
Adjustment of the Management Plan to the threats to biodiversity	Agreement of the proposal with strategic activities in line with the long term objectives of management of the Conservation Area.
Degree of compliance with the conditions of the tender and budgetary coherence	The activities and budgets are aligned with the stipulated criteria and the budget adequately reflects the proposed activities.
Coherence and consistency of the document	At the level of objectives, methodology, activities, results and indicators of the proposal.
The extent of complementarity with the other sources of financing of the Conservation Area	No overlap with other financing and support programmes.
Economic and social contribution of the project	Likely impact on the population living in the buffer zone and/or in the Conservation Area.
Weighting Factors	
Contribution to a diversified portfolio of BIOFUND	In terms of habitats, geographical diversity, level of consolidation, partners involved, etc.
External risks to the project	External factors which could influence implementation of the project.

APPENDIX 2 – Specific Criteria for the 2nd Cycle of Financing of Project Abelha (2016)

Each cycle has its specific criteria covering the following elements:

- (1) priorities of the cycle (in terms of themes/ activities / objectives);
- (2) eligible beneficiaries;
- (3) type of expenditure eligible;
- (4) period of financing;
- (5) deadline for receiving proposals;
- (6) indicative level of financing available (either by beneficiary or the total available);
- (7) relative weight of the criteria in assessing the proposals.

The following table defines the specific characteristics of the 2nd Cycle of Financing of Project Bee 2016

Reference elements	Specific characteristics of the 2nd Cycle of Project BEE
1) Priorities of the cycle	Financing of running costs (<i>Standard Grant</i>).
2) Eligible Conservation Areas	National Parks, National Reserves, Environmental Protection Areas, and Zones of Total Protection.
3) Type of expenses eligible	Running costs.
4) Period of financing	From January 2017 to December 2020.
5) Deadline for receiving proposals	Last week of September 2016.
6) Indicative level of financing available	The ceiling for the individual proposals of the Conservation Areas will be between 70,000 USD and 100,000 USD, annually
7) Relative weight of the eligibility criteria of the proposals: 40% for the management capacity criteria and 60% for the criteria on the quality of the proposal.	
CRITERIA	Relative weight
Management capacity	
Effectiveness of management	10
Organisational and financial capacity of the proponent	30
Quality of the proposal	
Adjustment of the Management Plan to the threats to biodiversity	10
Degree of compliance with the tender conditions and budgetary coherence	10
Coherence and consistency of the document	10
The extent of complementarity with other sources of financing of the AC	20
Economic and social contribution of the project	10
Contribution to a diversified portfolio of BIOFUND	weighting
External risks to the project	weighting

APPENDIX 3 - METT (Management Effectiveness Tracking Tool)

Aspect	Question	Criteria	Classification
1. Legal situation (Context)	Is the protected area in a legal situation?	The protected area is not published	0
		The government has agreed that the protected area should be published but the process has not yet begun.	1
		The publication of the protected area is on the way to being published but the procedure is still incomplete.	2
		The protected area was legally published (or, in the case of private reserves, owned by a trust or similar body)	3
2. Regulation of the protected area (Context)	Are unsustainable activities (e.g. poaching) under control?	There are no mechanisms to control inappropriate use and activities in the protected area	0
		There are mechanisms to control inappropriate use and activities in the protected area, but there are major problems in implementing them effectively	1
		There are mechanisms to control inappropriate use and activities in the protected area, but there are some problems in implementing them effectively	2
		There are mechanisms to control inappropriate use and activities in the protected area and they are being effectively implemented	3
3. Inspection (Context)	Are the staff capable of ensuring compliance with the norms in the protected area sufficiently well?	The staff have no effective capacity/resources to ensure compliance with the legislation and regulations in the protected area.	0
		There are major weaknesses in the capacity of the staff/resources to ensure compliance with the legislation and regulations in the protected area (e.g. lack of competence, lack of budget for patrols)	1
		The staff have acceptable capacity/resources to ensure compliance with the legislation and regulations in the protected area, but some weaknesses still remain.	2
		The staff have excellent capacity/resources to ensure compliance with the legislation and regulations in the protected area, and the infractions are regularly channelled and fines collected.	3
4. Objectives of the protected area (Planning)	Have the objectives been agreed?	No solid objectives have been agreed for the protected area	0
		The protected area has agreed objectives, but it is not being managed in accordance with these objectives	1
		The protected area has agreed objectives, but these are only being partly implemented	2
		The protected area has agreed objectives, and is being managed in accordance with these objectives	3

Aspect	Question	Criteria	Classification
5. Design of the protected area (Planning)	Does the protected area need to expand the corridors, etc., to meet its objectives?	The inadequacies in design make it impossible to achieve the main management objectives of the protected area	0
		The inadequacies in design cause some constraints in achieving the main objectives	1
		The design does not significantly constrain the attainment of the main objectives, but it could be improved	2
		The characteristics of the project of the reserve particularly help in achieving the main objectives of the protected area	3
6. Demarcation of the boundaries of the protected area (Context)	Are the boundaries known and are they marked?	The boundaries of the protected area are not known by the management authority or by other interested parties	0
		The boundaries of the protected area are known by the management authority, but are not known by other interested parties	1
		The boundaries of the protected area are known by the management authority and by others, but they are not appropriately marked.	2
		The boundaries of the protected area are known by the management authority and other interested parties and are appropriately marked	3
7. Management Plan (Planning/Products)	Is there a management plan and is it being implemented?	There is no management plan for the protected area	0
		The management plan is being drafted or it has been drawn up, but it is not being implemented	1
		There is an approved management plan, but it is only being partly implemented	2
		There is an approved management plan and it is being implemented	3
Additional points for planning		The planning procedure allows an adequate opportunity for the important interested parties to influence the management plan.	1
		There is an established calendar and the management plan is regularly analysed and updated	1
		The results of monitoring, research and assessment are routinely incorporated into planning	1

Aspect	Question	Criteria	Classification
8. Regular work plan (Planning/ Products)	Is there an annual work plan?	There is no regular work plan	0
		There is a regular work plan, but the targets of the plan are not monitored	1
		There is a regular work plan, and the targets are monitored, but many activities are not concluded	2
		There is a regular work plan, and the targets of the plan are monitored, and most or all the activities envisaged are concluded	3
9. Inventory of resources (Context)	Is there enough information for managing the area?	There is little or no information available about critical habitats, species and the socio-cultural values associated with the protected area	0
		The information about important habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1
		The information about important habitats, species and cultural values of the protected area is sufficient for the key planning/decision-making areas, but the necessary research is not being done	2
		The information about important habitats, species and cultural values of the protected area is sufficient to support planning and decision-making and is being maintained	3
10. Inspection systems (Inputs)	Are there systems to control access to and use of resources in the protected area?	Inspection systems (patrolling, licensing) either do not exist or are not effective in controlling access to and use of resources.	0
		Inspection systems are only partially effective in controlling access to and use of resources.	1
		Inspection systems are reasonably effective in controlling access to and use of resources.	2
		Inspection systems are broadly or fully effective in controlling access to and use of resources.	3
11. Research (Inputs)	Is there a study and research programme oriented towards management?	There is no study or research under way in the protected area	0
		There is some ad-hoc study and research	1
		There is considerable research work, but it is not directed towards the management needs of the protected area	2
		There is a comprehensive and integrated programme of studies and research, which is relevant to management needs	3

Aspect	Question	Criteria	Classification
12. Management of resources (Process)	Is the protected area adequately protected (e.g. bush fires, invasive species, poaching)?	The requirements for the active management of important eco-systems, species and cultural values have not been assessed	0
		The requirements for the active management of important eco-systems, species and cultural values are known, but are not being addressed.	1
		The requirements for the active management of important eco-systems, species and cultural values are only being partly addressed	2
		The requirements for the active management of important eco-systems, species and cultural values are being substantially or wholly addressed	3
13. Number of staff (Inputs)	Are there enough hired staff to manage the protected area?	There are no staff	0
		The number of staff is not adequate for important management activities	1
		The number of staff is below the optimum level for important management activities	2
		The number of staff is adequate to management needs	3
14. Staff training (Inputs/Process)	Is there enough training for the staff?	The staff are not trained	0
		The training and capacity building of the staff are poor in relation to the needs of the protected area	1
		The training and capacity building of the staff are adequate but could be improved to achieve completely the management objectives	2
		The training and capacity building of the staff are in line with the management needs of the protected area and with the envisaged future needs	3
15. Budget for running costs (Inputs)	Is the budget for running costs sufficient?	There is no budget for the protected area	0
		The available budget is inadequate for the basic management needs and constitutes a serious constraint on the capacity to manage	1
		The budget is acceptable, but could be improved to achieve fully effective management	2
		The budget is sufficient and fully meets the management needs of the protected area	3

Aspect	Question	Criteria	Classification
16. Guaranteed budget for the coming years (Inputs)	Is the budget guaranteed?	There is no guaranteed budget for the protected area and management is totally dependent on the outside or on year by year financing	0
		There is very little budget guaranteed, and the protected area could not function adequately without external funding	1
		There is a reasonably guaranteed core budget for the protected area, but many innovations and initiatives depend on external funding	2
		There is a guaranteed budget for the protected area and its management needs in a multi-year cycle	3
17. Management of the budget (Processes)	Is the budget managed to meet crucial management needs?	The management of the budget is weak and constrains effectiveness	0
		The management of the budget is weak and significantly hinders effectiveness	1
		The management of the budget is adequate but could be improved	2
		The management of the budget is excellent and supports effectiveness	3
18. Equipment and infrastructures (Process)	Are the equipment and installations adequate?	There is little or no equipment and installations	0
		There is some equipment and installations, but they are totally inadequate	1
		There is equipment and installations, but there are still important gaps which limit the management	2
		The equipment and installations are adequate	3
19. Maintenance of the equipment (Process)	Is the equipment maintained regularly?	There is little or no maintenance of equipment and installations	0
		There is some ad-hoc maintenance of equipment and installations	1
		The equipment and installations are maintained, but there are some important gaps in the maintenance	2
		The equipment and installations are well maintained	3

Aspect	Question	Criteria	Classification
20. Education and awareness programme (Process)	Is there a planned education programme?	There is no education and awareness programme	0
		There is a limited and ad-hoc education and awareness programme, but there is no general planning for this	1
		There is a planned education and awareness programme but there are still serious gaps	2
		There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area	3
21. Planning of land and water use (Process)	Does the planning of water and land use recognise the Conservation Area, and support it in achieving its objectives?	Planning procedures for water and land use in the neighbouring areas do not consider the needs of the Conservation Area, and the activities and policies are damaging to the survival of the Conservation Area	0
		Planning procedures for water and land use in the neighbouring areas do not consider the needs of the Conservation Area, but the activities and policies are not damaging to the survival of the Conservation Area	1
		Planning procedures for water and land use in the neighbouring areas partly take into consideration the long term needs of the Conservation Area	2
		Planning procedures for water and land use in the neighbouring areas fully take into consideration the long term needs of the Conservation Area	3
Additional points		21a. Planning and management in the river basin or landscape in which the Conservation Area is located incorporate adequate environmental guidelines (e.g. quantity, quality and phasing of water flows, sound and air pollution, etc.) to sustain the relevant habitats.	1
		21b. Management of corridors linked to the Conservation Area allow the access of fauna to key habitats outside of the conservation area (e.g. allowing migratory fish to swim from freshwater spawning areas to the sea, or migrations of species).	1
		21c. Planning considers the specific needs of the ecosystems and/or species of particular concern in the scale of the ecosystem (e.g. quantity, quality and phasing of water flows to support particular species, management of fire to maintain habitats, etc)	1

Aspect	Question	Criteria	Classification
22. State and commercial neighbours (Process)	Is there collaboration with the neighbouring users?	There is no contact between the managers and the neighbouring staff or corporate users	0
		There is limited contact between the managers and the neighbouring staff or corporate users	1
		There is regular contact between the managers and the neighbouring staff or corporate users, but collaboration is limited	2
		There is regular contact between the managers and the neighbouring staff or corporate users and substantial collaboration in management	3
23. Indigenous communities (Process)	Do not complete		x
			x
			x
			x
24. Local communities (Process)	Do the local communities resident in or near the protected area contribute to the management decisions?	The local communities make no contribution to decisions concerning the management of the protected area	0
		The local communities make some contribution to decisions concerning management but have no direct involvement in the resulting decisions	1
		The local communities contribute directly to some management decisions	2
		The local communities participate directly in taking management decisions	3
Additional points		There is open and trusting communication between the local interested parties and the managers of the protected area	1
		Programmes are being implemented to improve the well-being of the local community while at the same time conserving the resources of the protected area	1
		Local communities actively support the protected area	1

Aspect	Question	Criteria	Classification
25. Assessment of the economic benefit (Results)	Does the protected area offer economic benefits to the local communities?	The existence of the protected area has reduced the options for the economic development of local communities	0
		The existence of the protected area has neither prejudiced nor benefitted the local economy	1
		There are some economic benefits for local communities from the existence of the protected area, but this is of little importance for the regional economy.	2
		There is a significant or important flow of economic benefits to the local communities within and around the protected area (for example, jobs for the local population, commercial excursions operated locally etc.)	3
26. Monitoring and assessment (Planning/ Process)	Is the performance of management activities monitored?	There is no monitoring and assessment in the protected area	0
		There is some ad-hoc monitoring and assessment, but no overall strategy and/or regular collection of results	1
		There is an agreed and implemented monitoring and assessment system, but the results are not used systematically for management	2
		There is a monitoring and assessment system, well implemented and used in adaptive management	3
27. Facilities for visitors (Products)	Are the visitors' facilities (for tourists, travellers, etc.) good enough?	There are no facilities and services for visitors	0
		The facilities and services for visitors are inadequate for the current levels of visits or are being set up	1
		The facilities and services for visitors are adequate for the current levels of visits, but could be improved	2
		The facilities and services for visitors are excellent for the current levels of visits	3
28. Commercial tourism (Process)	Do the commercial tourism operators contribute to the management of the protected area?	There is little or no contact between managers and the tourism operators who use the protected area	0
		There is contact between managers and tourism operators, but this is practically limited to administrative or regulatory issues	1
		There is limited collaboration between managers and tourism operators to improve the experience of visitors and maintain the values of the protected area	2
		There is excellent collaboration between managers and tourism operators to improve the experience of visitors, protect values and solve conflicts	3

Aspect	Question	Criteria	Classification
29. Fees (Products)	When fees (tourism, fines) are charged, do they help the management of the protected area?	Although fees are theoretically charged, they are not collected	0
		The fee is collected, but it goes directly to the central Government and is not returned to the protected or surrounding areas	1
		The fee is collected, but it is delivered to the local authority instead of to the protected area	2
		A fee is collected for visiting the protected area, which helps support this and other protected areas	3
30. Assessment of resources (Results)	What is the situation of the natural resources of the Conservation Area, compared with the time it was declared?	Important biodiversity, and ecological and cultural values are being severely degraded	0
		Some biodiversity, and ecological and cultural values are being severely degraded	1
		Some biodiversity, and ecological and cultural values are being partly degraded but the most important values have not suffered a significant impact	2
		Biodiversity, and ecological and cultural values are predominantly intact	3
Additional points		Assessment of the condition of resources is based on research and/or monitoring	1
		Specific management programmes are being implemented to respond to threats to diversity or to ecological and cultural values	1
		Activities to maintain key values of biodiversity, culture and ecology are an integral part of the management of the Conservation Area	1
TOTAL SCORE			99
			%

APPENDIX 4 – Tool for Assessing the Administrative / Financial Capacity of the Proponent

Criteria for Assessing the Administrative / Financial Capacity							Total Points Possible	Total Points per category
Points to be attributed								
4 categories:	5	4	3	2	1	0		
1. Structural								8
a. Existence of a Sector of Administration / Finance, apart from the Administrator			exists	Attribution of tasks of DAF to specific people		Does not exist	3	
b. The Conservation Area and/or partner draws up and implements the budget	Draws up and implements the budget		Only implements the budget	Only draws up the budget		Neither draws up nor implements	5	
2. Human Resources								20
a. No. of technical staff in the sector of Administration and Finance	NB Information, without score							
Of which, from the Conservation Area	NB Information, without score							
Of which, from the partner	NB Information, without score							
b. Technical qualifications								
Accounts	Higher	Technical	Mid-level	Basic professional	Basic	none	5	
Public Administration	Higher	Technical	Mid-level	Basic professional	Basic	none	5	
Human Resources	Higher	Technical	Mid-level	Basic professional	Basic	none	5	
Others	Higher	Technical	Mid-level	Basic professional	Basic	none	5	
3. Existing resources								7

Criteria for Assessing the Administrative / Financial Capacity							Total Points Possible	Total Points per category
Points to be attributed								
a. Existence of a bank account managed at the level of the Conservation Area				exists		Does not exist	2	
b. Accounting system in use	Specialist programme		Spreadsheet (e.g. Excel)	Electronic resources without calculating functions (e.g. Word)	Paper records	None	5	
4. History of management of non-state funds								15
a. No. of projects with non-state funds managed in the last 3 years	5+ proj.	4 proj.	3 proj.	2 proj.	1 proj.	0 proj.	5	
b. Average annual value of non-state funds managed in the last 3 years	>\$500.000	>\$250.000	>\$100.000	>\$10.000	<\$10.000	0	5	
c. Audited in the last 3 years	Overall annual	Partly annual		Overall	Partly	never	5	
Totals							50	50

APPENDIX 5 – Model of Grant Agreement



Logo of beneficiary



GRANT AGREEMENT

Between

Foundation for the Conservation of Biodiversity – BIOFUND, with its head office at Avenida Samora Machel, no. 323, 5th floor, Maputo City, recognised through the Resolution of the Council of Ministers no. 69/2011, of 29 December, enrolled in the Registry Office of Legal Bodies under no. 100 449 277, represented at this act by “*insert name*”, in his/her capacity as Executive Director, with sufficient powers for the purpose, henceforth referred to as “**BIOFUND**”;

AND

“*Insert Name of the Conservation Area*”, with its headquarters at “*insert address*”, represented at this act by “*insert name*”, in his/her capacity as “*insert capacity*” and with sufficient powers for the purpose, henceforth referred to as “**the Beneficiary**”.

AND

“(In the event that the Beneficiary has no legal status, insert the body which represents it (normally ANAC))”

Considering that:

- A. BIOFUND agrees to grant finance in national currency, to the sum of *XX.000,00 MT (sum in words)*, to be used solely and exclusively for “*Name of Conservation Area*” (the “**Beneficiary**”) and for purposes envisaged in the approved grant request (**Appendix I**) which is an integral part of the present Agreement;
- B. ANAC declares that the Beneficiary is under its supervision and that it commits to use the funds earmarked here in a careful, prudent and responsible manner;
- C. Thus, in order to make the above operation effective, the Parties intend to fix the terms of the grant, through the present instrument.

The present **GRANT AGREEMENT** is governed by the following provisions and by the other applicable legislation.

1. General terms

- 1.1 For purposes of administration, this finance is hereby given the code “**XXX/Year**”, which shall be used in all correspondence and reports of the Project Beneficiary.
- 1.2 The Beneficiary shall use the finance received only with the purpose of undertaking the activities described in the approved grant request and in accordance with this Agreement.
- 1.3 The Beneficiary agrees that it shall not delegate or attribute to third parties, excluding the direct partners of “*name of Conservation Area*”, any responsibilities or obligations related to undertaking the project or activities financed by this Agreement.
- 1.4 BIOFUND may use, at its discretion, products or results of the activities financed by this Agreement for activities compatible with its aims.
- 1.5 The Beneficiary shall mention the financial support from BIOFUND for all the activities supported in whole or in part by this Agreement, including this in all publications produced or information divulged.
- 1.6 The Beneficiary shall indicate in writing to BIOFUND, for approval, the names of the persons authorised to represent it in all formal communication about the present finance. Any alteration of the representatives shall be communicated in writing to BIOFUND.
- 1.7 Apart from the provisions laid down in the present Agreement, the Beneficiary is obliged to comply with the applicable requirements of BIOFUND procedures, including those of the partners and financing agencies, whose funds are allocated to the project covered by the present Agreement.
- 1.8 It is expressly understood that the signing of the present Agreement does not imply the obligation to provide other or additional support to the Beneficiary.

2. Rules of disbursement and accountability

- 2.1 BIOFUND shall make an initial disbursement of *XX.000 MT (sum in words)*, after a formal request from the Beneficiary, in accordance with the Plan of Activities.
- 2.2 BIOFUND shall disburse this advance into a bank account dedicated to the present project, to be opened by the Beneficiary, under the terms of Circular no. 02/GAB-MF/2014 of 16 September.
- 2.3 Later, disbursements shall be made by reimbursing the sums corresponding to the monthly accounts. **Reimbursement shall be dependent on BIOFUND receiving the monthly summary of expenses made and the fiscally acceptable documents justifying them.**
- 2.4 The disbursements may be made before receiving the monthly accounts, whenever the total sum of the expenses made amounts to 75% of the initial advance.
- 2.5 The monthly accounts shall include:
 - 2.5.1 A summary chart showing the sum received and all the expenditure made for undertaking the activities, classified according to the budgetary lines of the approved project, indicating the date and form of payment. The Beneficiary shall certify that the summary chart of expenditure is in

- accordance with the original invoices which it shall keep at the project headquarters, and these invoices shall be accessible to BIOFUND;
- 2.5.2 Copies of all the invoices, regardless of the value of the expenditure, shall be appended to the summary chart.
- 2.6 The activities financed by this Agreement shall be implemented within the period between the “*start and finish dates of the project*”. The closure date of this financing shall be “3 months after the end of the project”.
- 2.7 Any expenditure made by the Beneficiary regarded as not eligible for financing covered by the present Agreement shall be paid by the Beneficiary from other sources. In the event that non-eligible expenditure is paid with the final disbursement of funds to the Beneficiary, a sum equivalent to the non-eligible expenses shall be returned to BIOFUND.
- 2.8 The Beneficiary shall present quarterly technical (narrative) and financial reports, showing the level of implementation of the activities and the financial execution.

3. Reports, records and audits

- 3.1 The Beneficiary shall promptly notify BIOFUND of the occurrence of:
- 3.1.1 Any non-compliance with or violation of the present Agreement
- 3.1.2 Any event, development or circumstance under which the activities to which the Agreement is contributing might be hindered or prejudiced;
- 3.2 It is understood that the obligation to communicate rapidly means that the Beneficiary shall not wait until the deadline for presenting reports to notify BIOFUND.
- 3.3 The Beneficiary shall keep separate bank accounts for use of the sums received under the present Agreement.
- 3.4 The Beneficiary shall take all necessary measures to allow the representatives of BIOFUND, including auditors, access to the records and books of accounts of the Beneficiary and report of its auditors. BIOFUND shall notify the Beneficiary at least seven (7) days in advance, of any visit.
- 3.5 The Beneficiary, at the request of BIOFUND, shall allow the representatives of BIOFUND to visit the places and installations that are related with this finance.
- 3.6 Any unspent balance of the finance shall be returned to BIOFUND within thirty (30) days, counted from the final date of the implementation period specified in no. 2.6 above, except if there is an agreement in writing to the contrary between BIOFUND and the Beneficiary.
- 3.7 The Beneficiary shall draw up and present to BIOFUND a Final Report following the format shown in **Appendix II** of the present Agreement, and which forms an integral part of it for all legal purposes, within sixty (60) days counted from the final date of the end of the project.
- 3.8 BIOFUND shall assess the Final Report and reserves the right to hold (i) a field visit or (ii) an independent assessment mission to help prepare an assessment report to be present to its Board of Directors on the performance of the project.
- 3.9 The Beneficiary undertakes that the use of funds paid as advances, as well as the special Project account, shall be subject to regular audits, at least once a year.

- 3.10 The Beneficiary undertakes to conserve the original documents in chronological order, in a safe place, until five years after the end of the project.
- 3.11 BIOFUND reserves the right to delay or reject any request to disburse advances if the audit report is not satisfactory and shows non-compliance by the Beneficiary of the project.

4. Procurement procedure

- 4.1 To acquire goods and services using project funds, the Beneficiary shall use the procedures in the BIOFUND Implementation Manual, section 2.2.1.

5. Reallocation of the funds from the Agreement

- 5.1. The Beneficiary shall present a request in writing and obtain the favourable opinion of BIOFUND for the reallocation of sums from the project budget:
- 5.1.1. Among the items and activities that appear in the financing request and which have been approved for financing by BIOFUND; or
- 5.1.2. To introduce new items or activities.

6. Suspension

- 6.1. BIOFUND reserves the right to suspend one or more disbursements under the following circumstances:
- 6.1.1. If the reports required under point 3 above are not presented by the Beneficiary within the established deadline, or are incomplete.
- 6.1.2. If the field visits indicate that the physical evolution is not consistent with information given in the progress reports presented;
- 6.1.3. If the financing funds are not used for the intended purposes, or if, in any way, their use is not in accordance with the terms and conditions of this agreement;
- 6.1.4. If the Beneficiary does not provide the necessary information or documents to BIOFUND representatives and auditors.
- 6.2. The Beneficiary shall be notified to correct such defects within fifteen (15) days, on pain of suspension of disbursements.
- 6.3. It is the task of BIOFUND to check whether the defects detected were properly corrected, and, based on this, it may decide to lift the suspension, without prejudice to the provision of 7.1.3 below.

7. Rescission of the Agreement

- 7.1. BIOFUND reserves the right to rescind the present Agreement if:
- 7.1.1. There are deviations in use amounting to more than ten per cent (10%) of the total sum for the approved project;

7.1.2.No sum has been used in the six (6) months counted as from the date of signing the present Agreement;

7.1.3. There are successive failings on the part of the Beneficiary in correcting the situation which led to the suspension mentioned in no. 6 above of this Agreement, or, if the Beneficiary does not take concrete measures to correct the situation within the deadline laid down by BIOFUND;

7.1.4. It concludes that the purposes for which the funds were disbursed will not be attained because of the manifest incapacity of the Beneficiary;

7.2. BIOFUND shall communicate the rescission in writing at least fifteen (15) days before the end of the Agreement

7.3. If, on the date of the communication mentioned in the previous paragraph, there is any balance left of the funds received, and unjustified expenditure, this amount shall be returned to BIOFUND within ninety (90) days counted from the date of rescission.

8. Assumption of responsibilities

8.1. The parties and/or the Beneficiary each agree to compensate the other party for any damage resulting from acts or omissions which constitute serious violations of the terms of the present Agreement, or which harm its good name or reputation or those of its managers, staff and workers.

9. Exclusion of responsibility of BIOFUND

9.1. BIOFUND shall not be responsible for losses, damage, claims or other responsibilities arising from the activities of the Beneficiary.

10. Alterations or amendments

10.1. Any alterations to the present Agreement shall only be valid if made in writing, in the form of an addendum, and signed by both the Parties.

11. Anti-corruption clause

11.1. The parties commit themselves not to offer, directly or indirectly, advantages to third parties, and not to request, promise or accept, for their own benefit or that of others, gifts with the purpose of obtaining a favourable judgment on the services to be provided, as fixed in Law no. 6/2004 of 17 June.

11.2. The Beneficiary undertakes :

- To guarantee that its own funds and funds invested in the project are not of illicit origin.
- That the project (including during the negotiation and execution of contacts financed from the Grant) does not result in any act of corruption, fraud or anti-competitive practices;

- That as soon as it becomes aware of an act of corruption, fraud or suspicion of anti-competitive practice or of such acts or practices, it shall inform BIOFUND without delay;
- That in the above-mentioned case, or at the request of BIOFUND, in the event of suspicion of such acts, it shall take the measures necessary to correct the situation until it satisfies BIOFUND within the time established by BIOFUND; and
- To notify BIOFUND immediately, if it is aware of information that raises suspicions about funds of illicit origin invested in the project.

12. Arbitration

12.1. Every effort shall be made to solve amicably any disputes arising from the present agreement.

12.2. In the event that it is not possible to reach an amicable solution, an arbitration panel of three competent people shall be formed: one member shall be appointed by BIOFUND, one shall be appointed by the Beneficiary, and a third shall be appointed jointly, without prejudice to the provisions of the specific legislation on arbitration.

The present Agreement is signed in Maputo, on ... of ... of 20..., in three copies, and is signed by each of the parties, one copy remaining with each party. The three copies are of equal value and legal content.

Appendices:

I – Insert “Terms of approval of the concession request”.

Executive Director, BIOFUND

General Director of ANAC

Administrator of the AC