



# **Grant-Making Procedures Manual**

**June 2021**

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# **1 Introduction**

## **1.1 Purpose of NCTFJ and the Grant-Making Manual**

The purpose of the NCTFJ is to promote for the benefit of the public the conservation, protection, management and expansion of the National Protected Areas Systems of Jamaica by providing a sustainable flow of funds to support, without limitation, enforcement, infrastructure, monitoring needs and other activities that contribute substantially to the conservation, protection and maintenance of biodiversity within the National Protected Areas System or any other area of environmental significance of Jamaica.

The Grant-Making Procedures Manual consists of the grant making guidelines and procedures designed to guide the grants programme staff or external grant administrator in grants management to assist eligible organisations in identifying and formulating good quality programmes and projects for implementation. The Manual also assists with programme and project management by outlining procedures and requirements for approval, reporting, evaluation and closure.

This Manual is to be used by the Directors, Officers, members of the Secretariat as well as any other persons or entities engaged by NCTFJ to ensure the effective operation and the achievement of the company's objects.

## **1.2 Background of NCTFJ**

The National Conservation Trust Fund of Jamaica (NCTFJ) was incorporated in 2014 to promote for the benefit of the public the conservation, protection, management and expansion of the National Protected Areas Systems of Jamaica by providing a sustainable flow of funds to support, without limitation, enforcement, infrastructure, monitoring needs and other activities that contribute substantially to the conservation, protection and maintenance of biodiversity within the National Protected Areas System (NPAS) or any other area of environmental significance of Jamaica.

The NCTFJ will provide an independent and long-term funding source separately from the national government budget to support conservation efforts. Both government agencies and non-

governmental entities will be eligible to apply for grants. The NCTFJ will focus on activities that directly support Jamaica's priorities as it relates to the environment and conservation. Funding by NCTFJ will complement government budgets and help to fill major funding gaps for effective management of protected areas.

### **1.3 Vision and Mission of NCTFJ**

The NCTFJ will effectuate its mandate to achieve integration of its vision and mission.

#### **NCTFJ's Vision:**

To be the leading provider of funding for the sustainable management and use of the natural, built and cultural resources of Jamaica. Our goal is to build a reputation for responsiveness, effectiveness and transparency, locally and internationally.

#### **NCTFJ's Mission:**

To foster effective management and sustainable use of Jamaica's protected areas and cultural assets by mobilising financial resources for funding projects, building partnerships and sharing knowledge and Information.

## 2 Grant-Making Objectives

The grant-making strategy lays the groundwork for the activities that the NCTFJ will fund each year. The strategy will be revised annually to adapt to needs, lessons learnt and priorities of Jamaica. The NCTFJ grant-making strategy supports three key areas:

### 1) **Finance PA Management Programmes and Projects**

Finance effective management of Protected Areas (PA) through programmes and projects implemented by Non-Governmental Organizations (NGOs), public agencies and Community-Based Organisations (CBOs) through a Request for Proposals process.

### 2) **Strengthen organizations towards effective PA management**

Facilitate improvements in institutional capacity of partners to support effective PA management

### 3) **Promote PA coordination**

Facilitate exchange of information, identification of common needs and synergies among PA agencies and managers towards effective PA management and to help consolidate the Jamaica PA system.

## **3 NCTFJ Grant-making approaches**

The outcomes and outputs of the grant making strategy aim at having an impact at the NPAS system-level. It is important to highlight that the NCTFJ grant-making approaches will focus on identifying and addressing funding gaps for the consolidation of the NPAS of Jamaica, complementing current efforts made by public agencies, NGOs with co-management delegation and other civil society organisations. With this positioning, the NCTFJ will be able to leverage resources and co-fund initiatives that are essential to the NPAS.

The NCTFJ will adopt two types of grant-making approaches: Strategic Investments and Grant Awards through Request for Proposals.

### **3.1 Strategic Investments**

Strategic Investments are grants dedicated to activities that are considered fundamental for the NCTFJ to achieve its objectives. These grants will be targeted investments prepared together with the NCTFJ Secretariat and partners and submitted to the Board for approval. The process for approval of a Strategic Investment will follow the following steps:

- 3.1.1 NCTFJ Secretariat and/or partners identify a funding need that will benefit the PAs at the system-level and that is aligned with NCTFJ's Strategic Plan.
- 3.1.2 NCTFJ Secretariat prepares a proposal with the guidance of the Grant Selection Committee (GSC). The proposal to the Board should explain:
  - the funding need;
  - the amount that is required from the NCTFJ grant-making budget;
  - the amount, if any, that will be provided by other institutions;

- the expected results;
- type of activities that will be covered and who will implement them; and
- how this investment will support the achievement of the NCTFJ Strategic objectives (preferably using the indicators contained in the Strategic Plan).

3.1.3 The Strategic Investment proposal will be submitted to the NCTFJ Board for approval through the formal procedures and will be archived as part of the Board minutes. The Board may require the opinion of the grant selection committee or of experts before approving the strategic investment. Letters of commitment from involved partners should be attached, where applicable to the memo to reinforce the support to the strategic investment.

It is important to highlight that, even though these grants will not be awarded through Requests for Proposals, they will keep the principles of competitiveness, transparency and accountability, as NCTFJ and any implementing partner will apply the NCTFJ procurement rules for any expenditure made with these resources.

These Strategic Investments are expected to be related to the strengthening effective management within the NPAS, including:

- a) capacity building gap assessment – identifying current capacity building initiatives for PA managers and key institutional partners, detecting capacity building gaps that are not covered with the current initiatives but are common to the majority of PA managers.
- b) capacity building activities – providing capacity building to the public and civil society institutions working in PA management, with the organization of workshops, courses, online resources, materials, targeted technical assistance, among others.
- c) participative decision-making spaces – supporting the functioning of the Protected Areas Committee and other consultative or deliberative bodies that are essential for the PA system.
- d) financial needs assessments – funding studies and assessments to update the financial needs of the PAs and the NPAS, including the financial needs of the public agencies and civil society institutions working in PA management.



- e) financial mechanism design and implementation – funding activities to implement mechanisms that may provide long-term funding to support protected areas management.
- f) coordination mechanisms – supporting activities that allow for the PA agencies and co-managers (NGOs and CBOs) to coordinate efforts, exchange experiences, prepare joint proposals, etc.
- g) knowledge management – financing data systematization, elaboration and production of publications, creation and/or maintenance of databases and other knowledge management activities.
- h) awareness raising – supporting activities that aim at raising the awareness about the importance of PAs, their economic value, including advocacy for public policies that support consolidation.

### **3.2 Grant Awards through Requests for Proposals**

The NCTFJ will solicit Requests for Proposals (RfPs) through its official website, social media platforms, online media of partners and national newspapers as means of disseminating RFPs broadly through networks and other groups. The NCTFJ will also conduct outreach activities to inform potential applicants of the RfP process and solicit proposals. NCTFJ will ensure that information is shared on an equal and transparent basis to all applicants.

Throughout the RfP process, the NCTFJ staff will serve as a resource for applicants by responding to questions about the RfP and the application process. All questions received about the RfP process will be answered in writing and published online, in a way to provide the same level of information to all applicants.

After conducting outreach to potential applicants and soliciting proposals, the secretariat and the GSC will work together to review the applications and recommend grants to the Board.

## **4 Eligibility**

### **4.1 Eligible Grantees**

Applications for funding from NCTFJ may be awarded to the following entities:

- a) Public sector agencies directly involved in the management of protected areas.
- b) Local NGOs that have continuously maintained for at least one (1) year prior to the date of the application date for the Call for Proposal with active operations in Jamaica consistent with the purposes of the grant.
- c) Local CBOs such as community associations or community bodies that are consistent with the purposes of the grant. Local community associations or community bodies must be established in Jamaica for at least 1 year prior to the application date for the Call for Proposal.
- d) Private sector entities from industries involved in protected area conservation, protection and or monitoring, consistent with the purposes of the grant. Additionally, established in Jamaica for at least 1 year prior to the application date for the Call for Proposal.
- e) Other registered organisations continuously maintained for at least one (1) year prior to the application date for the Call for Proposal with active operations in Jamaica consistent with the purposes of the grant.

Proposals submitted by government, NGOs and CBOs that enhance community involvement in conservation will be prioritized.

### **4.2 Eligible Locations**

Eligible locations for grant funding shall include;

- a) Protected Areas as identified in the National Protected Areas System; and
- b) Other areas identified in the National Ecological Gap Assessment Report (NEGAR) as a high priority for inclusion in the PA system.

### **4.3 Eligible Programmes, Projects and Activities**

The NCTFJ will fund activities that are related to the conservation and management of a legally recognised Protected Area or Areas of Environmental Significance. NCTFJ will also fund activities that contribute to the long-term sustainability of Jamaica's National Protected Areas System. This includes but is not limited to conservation, research, infrastructure preservation and development as well as education and enforcement.

The NCTFJ will support activities in these areas:

#### 4.3.1 Protected Areas Management and Conservation:

- a) recurrent management of natural resources and biodiversity conservation programmes
- b) implementation of activities for restoration and rehabilitation of ecosystems;
- c) implementation of protection techniques for Protected Areas;
- d) development of business plans, management plans and strategies that provide sustainable use of their resources;
- e) determining and demarcating limits of protected areas;
- f) conducting ecological assessments and scientific investigations in protected areas;
- g) monitoring and surveillance activities that ensure compliance with management plans being implemented in Protected Areas;
- h) institutional strengthening for the management of protected areas through training of management and technical personnel; and
- i) small infrastructure, basic equipment and tools such as boats, vehicles used for monitoring and cameras.

#### 4.3.2 Protected Areas Promotion and Development:

- a) support visitor centres and other recreational facilities in Protected Areas; and
- b) assist in marketing activities that foster sustainability of protected areas

#### 4.3.3 Education and Awareness:

- a) activities that involve education in, and or the dissemination of information about

conservation of biodiversity, the importance of biodiversity and/or techniques for conserving biodiversity;

- b) activities that promote building community awareness about biodiversity and conservation; and
- c) grants programs designed to support conservation-oriented research (eg. collection of baseline data on water quality and monitoring of restoration sites).

#### 4.3.4 Capacity development and building activities:

- a) institutional strengthening and capacity building on specific topics (eg climate change adaptation and alternative livelihoods); and
- b) training programmes.

NCTFJ may give consideration to the following areas:

- a) support programmes and activities and which focus on improving ecosystem resilience and community-level capacity to plan for climate change adaptation; and
- b) projects or activities that establish or encourage ecologically and socially sustainable development.

#### **4.4 Ineligible activities**

NCTFJ Grants shall not be used or expended directly or indirectly for any of the following:

- a) political campaigns on behalf of any political party or any candidate for public office;
- b) activities relating to the extraction of non-renewable natural resources; or
- c) any other use not consistent with the Company's objects.

#### **4.5 Minimum Standards for PA Funding**

NCTFJ's grants should only be allocated to PAs that have basic minimum operating standards. These standards would apply to PAs managed by the GOJ, non-governmental, community-based organizations, or a private sector entity. Basic minimum PA operating standards include:

- a) officially designated as a unit within NPAS designated area;

- b) designated responsible organization and qualified responsible person within the organization;
- c) official map of PA and demarked boundaries;
- d) designated office as PA headquarters in or near the PA;
- e) a financial account established to receive and track PA revenue and expenses for both NCTFJ and other funds (i.e., the account may be housed within a GOJ agency or with a local bank for other organizations);
- f) designated public PA access with road and entrance; and
- g) routine management presence (e.g., rangers, concessionaires, guide services, law enforcement, resource protection specialists)

#### **4.6 Grants duration and amount**

The NCTFJ will support single grants lasting no more than 3 years. Programmes and projects must be ready to receive funding and an extension may be considered on a case-by-case basis. Grants amount will be determined by the Board of Directors and adjusted as needed as it is anticipated that there will be a “conservation, restoration, and visitor development” grants programme to fund larger, multi-year projects in an individual PA or regional cluster of nearby PAs.

## **5 Grants Selection through Requests for Proposals**

### **5.1 Principles**

The NCTFJ grant decision-making process is based on the evaluation of grant requests on a competitive and transparent basis in accordance with the core values of the company. The grant decision-making process will provide equal opportunities to all applicants. The NCTFJ will not discriminate for the purpose of grant awarding matters against any person because of race, religion, color, national origin, sex, age or disability.

The Board will determine the amount of funds available for grant-making purposes and will provide funding based on the agreed amount.

NCTFJ can provide funding to activities that are considered strategic for the structuring of its program portfolio, especially for studies and assessments that will inform the Board as it relates to priorities. The NCTFJ will also provide funding to project implementers that will execute activities on the ground through Requests for Proposals (RfPs).

### **5.2 Selection Committees**

The NCTFJ will establish a Memorandum of Understanding (MoU) with the Protected Areas Committee (PAC) which will act as the Technical Advisory Committee (TAC) for specific recommendations to the NCTFJ Board to ensure awarding proposals are in alignment with the country's priorities for PAs.

A Grant Selection Committee (GSC) will be established to review grant applications and guide the Board in its decision. The committee will comprise of experienced and knowledgeable professionals in the field of socioeconomics, conservation, environmental protection, maintenance of protected areas and other areas that align with NCTFJ's grant-making goals.

The GSC will consist of representatives from the Protected Areas Committee, government, non-government organizations, and other stakeholders willing to carry out specific responsibilities and tasks to ensure alignment and transparency in awarding programmes and projects. The GSC can

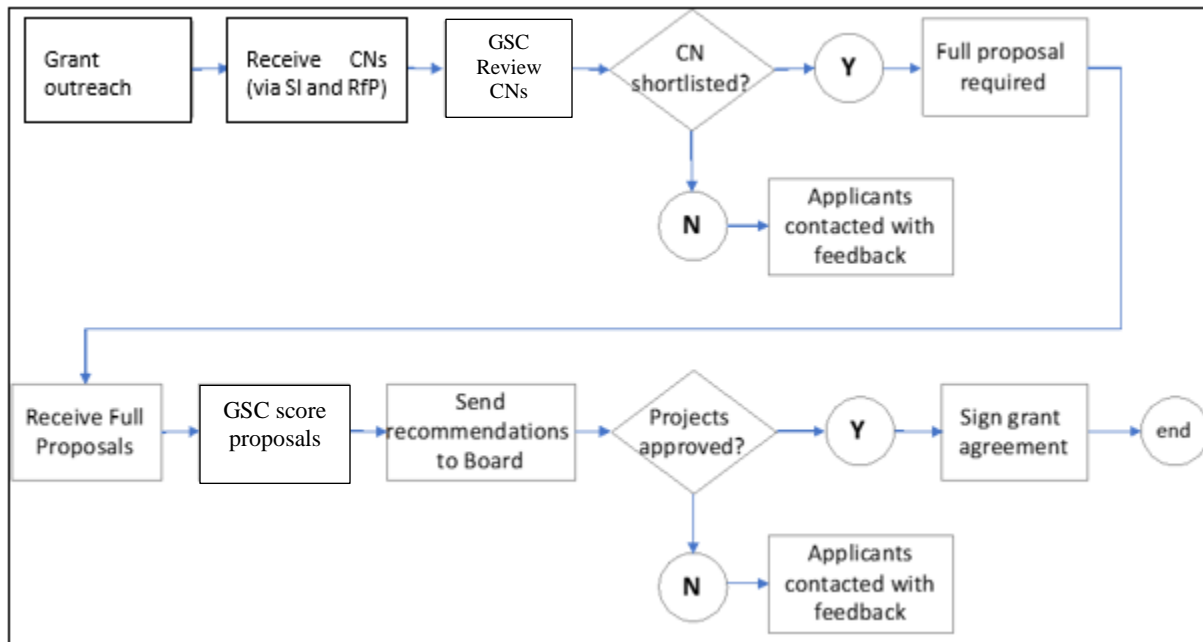
be a permanent body or can be composed on an ad-hoc basis, for each Request for Proposals launched by the NCTFJ. The need for an ad-hoc GSC will be defined by the Board in cases when the RfP has a specific thematic focus and require specialists in the thematic area. NCTFJ Board members may also be invited to take part in the GSC. In the event of a conflict of interest (CoI), members must declare the conflict and recuse themselves from making decisions.

### 5.3 Selection process

This section describes the NCTFJ’s grant-making application and selection process. The process is represented in figure 2 below.

#### 5.3.1 Flowchart

Figure 2 illustrates the steps for grant selection as described in a flowchart:



#### **5.4 Concept Note and Full Proposal**

The NCTFJ will publish a Request for Grant Proposal at a frequency that the board sees fit. The Request for Proposals documentations will be approved by the Board and the NCTFJ will accept concept notes from potential grantees responding to the RFP. The RFP will indicate:

- a) a summary of the programme or project;
- b) the deadline by which all Concept Notes should be submitted;
- c) the estimated timeline for the grant selection process;
- d) the maximum funding amounts available under such Request for Grant Proposals;
- e) the grant funding period;
- f) a description of eligible applicants, eligible sites and eligible projects;
- g) contact information of a responsible person;
- h) specific criteria for selection; and
- i) details on how to submit the proposal, including templates.

Templates for applicants to submit Concept Notes and Full Proposals are available in Appendix 2 and Appendix 6 respectively.

#### **5.5 Reviewing and Awarding of Grants process**

- a) Upon receipt of the Concept Notes, the secretariat will carry out a first screening process, based on compliance aspects. This step is to ensure that Concept Notes sent to the GSC comply with the RfP requirements. This screening process is to check if the Concept Note:
  - i. follows the Concept Note template provided;
  - ii. is related to the thematic areas included in the RfP;
  - iii. is duly complete and all the required supporting documents are provided;
  - iv. was received on or before the published deadline (time and date); and
  - v. meets the eligibility requirements for types of grantees; and



- vi. adheres to the funding period and amount.
- b) The GSC is provided with compliant Concept Notes and shortlists Concept notes. GSC will then prepare a summary of each grant proposal, according to a pre-defined template, and a recommendation to the Board, together with the evaluation grid used to evaluate the Concept Notes, and the associated scoring and ranking of all Concept Notes evaluated by the GSC. Applicants that are short-listed will be asked to provide a full proposal.
- c) Written communication will be sent to all applicants, shortlisted or not, about the decision taken. Feedback may be provided to applicants that were not short-listed as a way to promote learning and build the capacity of applicants to become future grantees.
- d) The detailed template for a Full Proposal preparation will be available from the Concept Note phase, as a way to inform applicants of the type of effort that will be required if their Concept Note is approved. A formal communication to short-listed applicants will also include a deadline to submit full proposals. Workshops on proposal writing and clarifying sessions may be organized for the applicants. External consultants may be hired to support applicants in the preparation of their full proposals, if resources are available and depending on the relevance of the programme or project idea. Also, preparation grants may be provided by the NCTFJ if the Board decides it is necessary. The RfP will define if there is technical assistance and preparation grant for applicants, as well as the criteria for accessing this support.
- e) The staff will acknowledge receipt of Full Proposals and prepare the evaluation package to be sent to the GSC.
- f) The GSC will review and score the full proposals and recommend programme and projects to be awarded. At this stage, the GSC may ask the applicants for clarifications.
- g) Following the review process with respect to each Grant Proposal received, the Secretariat will submit recommendations with respect to each Grant Proposal for presentation to the Board, including a summary of each Grant Proposal indicating factors considered (including amounts requested).

- h) The Board of Directors has the final approval on award of the recommended list of programmes and projects prepared by the GSC. The Board shall vote on each Grant Proposal after having sufficient time to review each Grant Proposal and to discuss any questions or issues with the Secretariat and taking into account the recommendations of the Secretariat (but in any event no longer than 6weeks following submission of recommendations by the Secretariat).
- i) Written communication will be sent to all applicants, awarded or not, about the decision taken by the Board on the selection of programmes and projects to receive grants. The Board may approve a proposal with no changes or with recommended changes.

The grant agreement is signed between each grantee and the NCTFJ. The NCTFJ will ensure the grantee understands the obligations established by the grant agreement. The NCTFJ may provide the grant agreement template in advance (as an appendix of the proposals request documentation), to inform grantees of the obligations included in the contractual relation. A grant agreement template is provided in Appendix 12.

### 5.5.1 Estimated timeline

**An estimated timeframe for the grant selection process is provided in the table below:**

*Table 2 - Estimated timeframe for selection of grants*

<b>Main action</b>	<b>Estimated timeframe</b>
a) Request for Proposals open	4 weeks
b) Receive Concept Notes and carry out the compliance screening/due diligence	2 weeks
c) GSC takes the decision on short-list	3 to 4 weeks
d) Written communication to all applicants – rejection or request for full proposals	1 week
e) Receive Full proposals/ conduct initial screening and forward to GSC for analysis	4 weeks
f) GSC reviews the full proposals (from Strategic Investments and Request for Proposals process) and submits to Board for approval	4 weeks
g) Recommendation of the GSC is taken to Board approval	2 weeks
h) Written communication of the process results to applicants	1 week
i) Further due diligence of the selected institutions, if needed	1 to 2 weeks
j) Grant agreement is signed	1 to 2 weeks
<b>Total</b>	<b>23 to 26 weeks</b>

### 5.6 Grant Selection Criteria

The NCTFJ will develop and refine grant-scoring criteria that it will use in each RFP to select grantees. To produce the short-list of applicants, the GSC should observe the following aspects to

verify the relevance and coherence through:

- a) well-articulated problem statement supported by baseline information/data or other evidence, where possible;
- b) alignment of the proposed actions with the priorities established in the RfP;
- c) alignment of the proposal with the applicant's mission and previous work;
- d) verifiability and measurability of the proposed indicators and ensuring these include gender sensitive indicators; and
- e) review of the coherence of the estimated budget and timeline.

The Full Proposal review will verify the expected impact and the efficiency through:

- a) feasibility and clarity of the action plan and timeline proposed;
- b) cooperative agreements and working relationships with nearby landowners, communities, schools, churches, businesses, hoteliers, guiding companies, and others;
- c) adequate gender considerations in the programme/project activities, ensuring women and other vulnerable groups participation and benefits;
- d) innovation and inclusion of new technologies in the actions proposed;
- e) potential of replicability of the actions proposed and potential knowledge generation to be shared;
- f) sustainability of the expected results after the programme/project is finalized;
- g) existence of a clear plan for dissemination of programme/project results; and
- h) assessment of the applicant's financial management capacity to manage the grant and implement the proposed programme/project.

In both phases, the Technical Committee will receive a scoring table to complete with their review. These scoring tables are provided in Appendix 3 and Appendix 7.

Additional desirable standards include:

- j) evidence of additional revenues or contributions being available locally;

- k) involvement of grassroots communities in the proposal preparation; and
- l) when submitted by government and NGOs, proposals that enhance community involvement in conservation.

## **5.7 Grant Agreement**

The secretariat of the NCTFJ will work closely with selected grantees to execute the grant agreement (a grant agreement template is provided in Appendix 12). The implementation includes several components, such as:

**Execution of the grant agreement:** NCTFJ and grantees will enter into a legally-binding grant agreement which will guide the implementation of the grant. The grant agreement includes all guidance regarding the grant implementation, the reporting requirements and disbursement of grant resources.

**Fund disbursement:** Funds will be disbursed in accordance with the terms and conditions of the grant agreement. Prior to disbursing funds, the NCTFJ will outline any restrictions in place for the disbursement of funds and the timing of disbursement. In addition, the NCTFJ will indicate who will be in charge of disbursing and tracking funds and develop a framework for a grants database where information on grants will be stored. Payments made to grantees will be divided by deliverables, with the exception of a mobilization fee disbursed at the beginning of the programme/project to help with initial implementation and a small amount of the grant funds (~10%) that will be withheld until the submission of the close-out report at the end of the programme/project.

**Administrative and field supervision of grantees:** The NCTFJ will conduct administrative and field supervision (e.g., site visits) of the grantees during the grant.

**Annual work plans:** For programmes/projects that have a duration longer than one year, the Grantee will be requested to develop an annual work plan of activities, budget required and schedule.

**Amendments:** Any grant extensions must be approved by the NCTFJ.

**Conflicts of interest:** A grant selection committee member shall not make a decision or participate in making a decision or seek to influence a decision where an actual or perceived conflict of interest arises regarding grant awards; Therefore, the member should not contribute to the proposal selection if his/her organization applied. Additionally, Directors, Officers and staff of the NCTFJ must declare the conflict in a written statement (i) disclose in full the nature of the interest and (ii) recuse themselves from relevant discussions.

**Misuse of funds:** This involves using funds for purpose other than which the NCTFJ authorized or agreed on with the grantee. In the case of possible misuse of funds during grant execution, the staff and the Board will attempt to resolve the conflict or funding issue. The Board may ask for an external investigation or mediation to resolve the issue, if needed.

## **6 Environmental and Social Safeguards**

### **6.1 Environmental Safeguards**

Grants provided by the NCTFJ are expected to generate positive environmental benefits in conserving the natural integrity and biodiversity of the National Protected Areas System. It will at the same time provide opportunities for income generation for communities in and around the NPAs. Expansion and/or strengthening of management effectiveness in the NPAs may be achieved through a range of activities. Implementation of some of activities proposed may have adverse environmental consequences, including without limitation, damage to coral and reef systems from mismanaged activities; disturbances to bird, mammal, and fish species from poor tourism practices; and noise, dust and air pollution from small infrastructure works (such as a visitor center and boardwalk).

Adverse environmental impacts of NCTFJ financed projects and activities are expected to be minor, localized and preventable through responsive mitigation measures.

### **6.2 Procedures for grants**

It is compulsory that screening for potential environmental impacts and additional mitigation measures to address any potential impacts is conducted for proposed design and construction. In such cases NCTFJ will provide guidelines to support the screening of the impacts.

Where private entities would be responsible for specific activities financed by the NCTFJ (e.g. refurbishment or construction of Protected Areas infrastructure such as a visitor centre or eco-tourism activities) relevant safeguards need to be specified and become part of their contractual obligations.

### **6.3 Social Safeguards**

Grants provided by NCTFJ are expected to catalyze positive social outcomes based on improvement of natural resource, environmental conditions and potential economic benefits to local population. However, there may be some potential impacts associated with possible restrictions on resource use in, and access to, core areas of PAs. Some livelihood activities may be

adversely impacted in MPAs, including without limitation the limiting of fishing areas through zoning, limiting fish catches, banning certain fishing techniques, or restricting certain types of fishing. In addition, tourism operators and vendors, resource extractors and harvesters (e.g. corals, sand,) may also be affected. For terrestrial PAs, livelihoods of tourism operators and vendors, farmers, and resource extractors (e.g. timber, firewood, plants), among others may also be impacted. It should also be noted that some restrictions on livelihoods may currently exist but are often not regularly enforced due to capacity constraints. As part of the NCTFJ's overall conservation strategy, grants will be provided for effective management of PAs and may require persons or communities to change some ongoing negative practices of certain resources and in certain areas.

#### **6.4 Procedures for grants**

NCTFJ shall generally address and minimize as much as possible the adverse social impacts resulting from the Fund's financed programmes, projects and activities by:

- a) ensuring stakeholder consultations are carried out;
- b) providing guidelines to applicants to include sustainable development action plans which would harmonize social strategy with conservation practices to offer sustainable alternatives to substitute damaging practices; and
- c) undertaking adequate and continual monitoring and evaluation in accordance with the monitoring and evaluation guidelines provided.



## 7 Monitoring and Evaluation

### 7.1 NCTFJ Institutional Performance

It is critical that NCTFJ conducts monitoring, evaluation, and learning (MEL) as a best practice for ensuring compliance, reviewing progress, and making informed decisions. A robust MEL process is an essential step of the grant-making process because it will allow the NCTFJ to evaluate the impact of its grants and to report results and impacts to target audiences, including donors. An impact matrix will also be provided to grantees and will assist the NCTFJ in capturing the impacts. The NCTFJ will monitor and evaluate its institutional performance in relation to its purpose, strategic direction, and national and international conservation indicators, targets, and strategies. Aggregated results may be used to inform decisions and amendments for the grant-making strategy.

### 7.2 Grants Monitoring

7.2.1 The NCTFJ and grantees will agree upon measures of performance to monitor grant progress and outline these in the grant agreement, prior to grant implementation. In addition, NCTFJ will conduct monitoring site visits to observe site conditions and activities. The NCTFJ will use clear reporting guidelines, timelines, and templates for grantees to support reporting requirements. An initial narrative reporting template and financial reporting template are provided as Annex 1 and 2 respectively. Reports that NCTFJ will require from grantees will aim at capturing information on the progress of the grantee and the impact of the NCTFJ, and any relevant donor or partner contribution. The reports will include

- **Financial and progress reports:** Interim financial and progress reports are to be filed six months after initial disbursement. Interim reports will be tied to deliverables and site visits to observe grantee progress conducted by the NCTFJ. A comprehensive technical and financial report is to be filed at the end of the fiscal year unless otherwise specified in the grant agreement.

- **Financial statements:** The NCTFJ will require grantees to provide financial statements documenting the use of grant funds. The financial statements may either be in the form of financial reports documenting expenses and uses of funds, or for smaller groups with less capacity, these may include monthly bank statements or reconciliation statements to show the disbursement and use of funds; in this case, the grantees will compile and submit monthly bank statements according to the reporting schedule described above.
- **End of programme/project report:** The NCTFJ will require grantees to submit a final report at the close of the project.

**7.2.2** The NCTFJ may customize grantee reporting requirements for different types of grantees (e.g., smaller organizations with limited capacity vs. larger organizations) and depending on donor or partner requirements. The NCTFJ may also customize the reporting schedule based on the timeline of the grant.

### **7.3 Grants Evaluation**

**7.3.1** Programmes and projects should develop specific logical frameworks following a results-based management methodology. This will allow the NCTFJ to check whether the interventions are on track or achieving the goals. Grantees should establish clear definitions for all the concepts that the programmes or project will focus on, for example, clear definitions of climate change impacts, vulnerability, climate change adaptation, and resilience. This is important in order to obtain clear, evidence-based, measurements to monitor at the project's scale.

**7.3.2** Each project should carry out baseline and endline surveys as necessary to assess performance. The information compiled in these surveys should include interviews with key stakeholders to evaluate progress. In addition, programme/project implementers are encouraged to document success stories, leading practices, and lessons learned. This documentation should include: the achievements, stakeholder perception of the programme/project and its value, and whether specific results are occurring.

## **7.4 Grants Closure**

7.4.1 At the conclusion of the grant, grantees will provide the NCTFJ with a final grant report. Per the intellectual property considerations specified in the grant agreement, the grantee will share the final public products of the grant with the NCTFJ, to be shared at the NCTFJ's discretion for the public good. The grantee will also provide responses to Impact matrix, see Appendix 19 which will include documentation of lessons learned through the grant process. The documentation and sharing of lessons learned at the conclusion of the grant cycle will help to promote transparency and the dissemination of programme/project outcomes.

## **8 Appendices**

**APPENDIX 1 – CALL FOR PROPOSAL TEMPLATE**

**APPENDIX 2 – CONCEPT NOTE APPLICATION TEMPLATE**

**APPENDIX 3 – EVALUATION SCORING SHEET FOR CONCEPT NOTE**

**APPENDIX 4 – COMPOSITE EVALUATION SCORING SHEET FOR CONCEPT NOTE**

**APPENDIX 5 – OVERALL SCORING SHEET OF CONCEPT NOTES**

**APPENDIX 6 – FULL PROPOSAL TEMPLATE**

**APPENDIX 7 – EVALUATION SCORING SHEET FOR FULL PROPOSAL**

**APPENDIX 8 – COMPOSITE EVALUATION SHEET OF THE FINAL SCORE FOR PROJECT PROPOSALS**

**APPENDIX 9 - OVERALL FINAL SCORE FOR PROJECT PROPOSALS**

**APPENDIX 10 – AWARD NOTIFICATION LETTER TEMPLATE**

**APPENDIX 11 – GRANT RECIPIENT DISBURSEMENT REQUEST FORM**

**APPENDIX 12 – GRANT AGREEMENT TEMPLATE**

**APPENDIX 13 – DISBURSEMENT AUTHORIZATION FORM**

**APPENDIX 14 – NARRATIVE PROGRESS REPORT TEMPLATE**

**APPENDIX 15 – FINANCIAL PROGRESS REPORT TEMPLATE**

**APPENDIX 16 – FINAL NARRATIVE REPORT TEMPLATE**

**APPENDIX 17 – FINAL FINANCIAL REPORT TEMPLATE**

**APPENDIX 18 – NCTFJ PROJECT DATABASE**

**APPENDIX 19 – IMPACT EVALUATION MATRIX**

**APPENDIX 20 – SITE VISIT/ MEETING REPORT FORM**