

Poverty Oriented Support to Community  
Conservation in Namibia

BMZ No. 2017 68 514

Project Implementation Manual - Annexure D

Version 2.0

# Small Grants Manual

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**Community Conservation Fund of Namibia**



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## Executive summary

The Ministry of Environment and Tourism's (MET) *Revised National Policy on Human Wildlife Conflict Management* (2018) outlines the processes for management of human wildlife conflict (HWC) in Namibia. This policy is supported by the *Measures and Guidelines for Implementation of the Revised National Policy on Human Wildlife Conflict Management* (2018). One of the MET strategies for the implementation of this policy is the establishment a Human Wildlife Conflict Management (HWCM) Programme which will be managed by the Community Conservation Fund of Namibia (CCFN) Secretariat. The HWCM Project described in this manual will contribute to implementing measures in communal conservancies in accordance with the Policy.

The Project **Poverty Oriented Support to Community Conservation in Namibia** (hereafter: the Project, co-financed by the Federal Republic of Germany through the German Ministry for Economic Cooperation and Development (BMZ) via the KfW Development Bank), will allocate a grant of up to EUR 5 million as a sinking fund into the CCFN to support the HWCM Project. This small grant manual was drafted to comply with the Separate Agreement of this Project which is described in detail in the Project Implementation Manual (PIM) of which this manual is a part.

The objective of the Project is:

To contribute to biodiversity conservation and rural development in Namibia's communal conservancies through establishment of sustainable human wildlife conflict management systems

This manual begins with describing the general principles of the Project and describes how the Project objective will be achieved. Each of the following topics has a dedicated chapter in the manual:

- ✓ An explanation of who is eligible to apply for a grant.
- ✓ List of activities which can be funded through the grant process as well as activities which cannot. The professional support services that will be procured by the CCFN to support the drafting of Human Wildlife Conflict Management and Actions Plans (HWCMAPs) and the development of grant applications is also included.
- ✓ For the implementation of HWC management and mitigation measures to be effective and sustainable, grant applications should be developed according to the following principles:
  - the grant application should focus on one **problem-causing species**;
  - the grant application should focus on **one landscape**;
  - the grant application should include all the eligible target conservancies within that landscape.
- ✓ A description of the grant application procedures is given including the supporting documentation required and the process for submitting the grant application. A detailed grant application form is presented in Appendix 1 as well as the format for the M&E plan (Appendix 2).
- ✓ The grant mechanism is explained including the budget and the need for match funding.
- ✓ The technical evaluation process is described with evaluation criteria and a scoring scheme included. The technical evaluation will be performed by the CCFN Technical Advisory Panel (TAP) making recommendations to the Project Steering Committee (PSC) and then the CCFN Board.
- ✓ A brief description of the reporting requirements is given.
- ✓ An environmental and social safeguards self-assessment is included in the grant application form.



co-opted members. Grant applications will first be reviewed and assessed by the TAP and then passed on to the CCFN Steercom and then the Board for approval.

This Grant Manual provides information on the way in which CCFN will manage the various phases of grant management: the calls for grant applications, eligibility criteria for applicants, the application process, the process for evaluation of applications submitted, evaluation criteria, approval and monitoring processes, and grant agreements. The priority investment areas that will be considered for funding under the Project are also described. In addition to specifying the processes involved in grant management, templates for applications are also included.

## 2 Background

The objective of the Project is:

To contribute to biodiversity conservation and rural development in Namibia's communal conservancies through establishment of sustainable HWC management systems.

General principles include:

- The target group of the Project are the registered communal conservancies in the northeast, north central and northwest regions of Namibia and their members who are negatively impacted by HWC.
- Selection of conservancies for grants will be contingent on their compliance with defined criteria pertaining to good governance as described in MET's *Guidelines for the Management of Conservancies and Standard Operating Procedures* and also the criteria for eligibility for participation in the KfW co-financed Project.
- HWCM grants are intended to benefit communal conservancies wishing to undertake HWC mitigation actions. The Project will focus on conservancies experiencing significant losses due to HWC and the focus of interventions within these conservancies will be on HWC hotspots.
- Interventions for which funding is applied should be in line with MET's *Revised National Policy on Human Wildlife Conflict Management (2018)*.
- Grant applications should demonstrate the link between HWC and poverty alleviation for conservancy members.
- Professional services from individual consultants or professional service providers for supporting the preparation and development of grant applications will be provided.
- All conservancies intending to apply for grant funding from the Project, will be required as a first step to develop a Human Wildlife Conflict Management and Action Plan (HWCMAP). If the conservancy already has a HWCMAP, then this will need to be reviewed and updated as needed. Professional support services will be provided to support this process.
- The application for grant funding will be to support the implementation of selected components of the HWCMAP.
- The grant award process is intended to provide financial support for applications that demonstrate technical quality and financial accuracy. Requests for support for innovative approaches of addressing HWC by conservancies will be encouraged.
- Conservancies who have the financial means will be required to contribute to HWC measures and provide match funding or in-kind beneficiary contributions where possible. The match funding required will be based on the financial status of the conservancy applying.
- By signing a grant agreement, a conservancy commits to complying with the conditions of the Project.

### 3 Who can apply?

- Registered communal conservancies who are negatively impacted by HWC will be considered for support from the Project. Kyaramacan Association in Bwabwata National Park is also included.
- During the inception phase, the PMT will facilitate a process whereby a list of conservancies meeting the criteria for support from the Project will be identified. These conservancies will be considered target conservancies. For each conservancy, HWC data as well as compliance with MET's SOPs will be reviewed.
- When considering the eligibility of a conservancy for support from the Project, the following will be reviewed:
  1. High rate of HWC incidents and extensive losses due to HWC;
  2. Compliance with MET's SOPs for conservancies;
  3. Recruitment of a qualified external bookkeeper if not already in place;
  4. Agreement to accept external governance support if required;
  5. Agreement to contribute funding for offset payments where possible;
  6. Agreement to contribute to other Project measures (in line with the financial capacities of the conservancy);
  7. The development or revision of a conservancy HWC MAP.
- Assessment of compliance with MET SOPs for conservancies will focus on the status of the following documentation:
  1. Submission of the Minutes of the AGM to MET;
  2. Submission to MET of the Annual Chairperson's report presented to the AGM;
  3. The status of the WMUP;
  4. Submission of the annual financial report and details of bank accounts and signatories to MET;
  5. Evidence of the implementation of the benefit distribution plan (BDP).
- Grant applications from non-target Project conservancies will not be considered.
- A grant application should focus on one problem-causing species and on one landscape.
- A grant application can be submitted jointly by a conservancy or cluster of conservancies along with an implementation support organization (ISO). A partnership roles and responsibilities statement, signed by all parties (the conservancies and the ISO), should accompany the grant application.
- The CCFN will identify professional service providers which meet the criteria to qualify as such and conservancies can select a preferred service provider from this list to support the development of a grant application.
- The Project encourages clusters of conservancies or conservancies within a landscape to submit a joint application. The PMT will favourably consider joint grant applications in which all conservancies have been identified as target conservancies by the Project.
- Applications can be submitted by a single conservancy providing the justification for this is clearly stated.
- Grant applications should be developed and submitted by the Conservancy Management Committees (CMCs) and the ISO with support from the professional services provided by the CCFN.
- ISOs can be included as an implementing partner in the grant application providing that the ISO qualified (with regard to capacity and technical expertise) during the inception phase screening process.

## 4 Which activities can be funded?

### 4.1 Development of HWCMAPs

- Conservancies that have been identified for support from the Project will be provided with professional services for the development of HWCMAPs. If the conservancy already has a HWCMAP, the support provided will facilitate the revision and updating of the existing plan.
- There is no guarantee that conservancies receiving support for the development of HWCMAPs will receive grant funding when they submit a grant application at a later stage.
- The HWCMAP must be developed according to the requirements described in the MET's Measures and Guidelines for Implementation of the Revised National Policy on Human Wildlife Conflict Management (2018).
- Only measures key to the implementation of the HWCMAPs can be included in a grant application.

### 4.2 Professional services for preparation of grant applications

Conservancies may need professional services for one or more of the activities listed below before a grant application can be submitted. The PMT will contract professional services to conservancies where there is justification that the information obtained via professional services is required for the preparation of a grant application. The following professional services will be considered:

- Drafting of a grant proposal and accompanying documentation;
- Infrastructure design and cost assessment;
- Architectural sketches and plans;
- Undertaking an Environmental Impact Assessment (EIA) if required and development of an Environmental Management Plan (EMP) as required under the Environmental Management Act (Act 7 of 2007).

### 4.3 HWC management grant categories

For the implementation of HWC management and mitigation measures to be effective and sustainable, grant applications should be developed according to the following principles:

- the grant application should focus on one problem-causing species;
- the grant application should focus on one landscape;
- the grant application should, where possible, include all the eligible target conservancies within that landscape.

Examples of categories are given in Table 1 below – these categories will be refined during the Project inception phase.

**Table 1: Examples of categories for landscape level grant applications**

Species	Items	Location
Lions	Livestock losses	Kunene landscape (including Erongo, southern and northern Kunene)
		Bwabwata landscape (including Kavango East and Kwando river conservancies)
		Chobe landscape
		North Central landscape
Hyaenas/ wild dogs	Livestock losses	Kunene landscape
		Bwabwata landscape
		Otjozondjupa landscape
		North Central landscape
Elephants	Crop damage	Bwabwata landscape
		Chobe landscape
		Kavango landscape
		North central landscape
	Infrastructure damage	Kunene landscape North Central landscape
Crocodile	Threat to human life and livestock losses	Kunene landscape
		Kavango landscape
		Kwando Landscape
		Zambezi landscape
		Chobe landscape

#### 4.4 Interventions eligible for grant funding

The interventions described below will all be considered for grant funding provided the proposed measures address the intended objectives of the Project. Should other similar interventions which are innovative and appropriate be identified during the course of grant application development, then these could also be considered providing suitable motivation with a full commitment to pilot the innovative measures is provided and a *non-objection* is obtained from KfW.

##### 4.4.1 Water point infrastructure development

Infrastructure associated with water points can be funded under this category – this includes:

- Building walls around dams or tanks;
- Creating safe areas in rivers for drawing water;
- The development of alternative water points for wildlife;
- Protection for windmills, solar pumps and domestic water facilities;
- Providing separate drinking points for wildlife away from villages and homesteads;
- Providing separate drinking points for livestock and wildlife (especially elephants);
- Improved design and the building of new troughs suitable for wildlife – this may be to replace unsuitably designed troughs or to replace old troughs that are no longer functional or new troughs at newly established water points;
- Building special troughs which are suitable for elephants specifically in order to avoid conflict between elephants and all other animals at water points;
- Development of separate troughs, and as well as storage tanks/reservoirs for use specifically by elephants;

- Solar pump installations of newly developed water points provided that these water points have been established with the purpose of mitigating HWC;
- The replacement of existing diesel-powered pumps with solar systems provided that the water point has the purpose of mitigating HWC.

#### 4.4.2 *Predator-proof kraals*

Infrastructure associated with protecting livestock from predators can be funded under this category and joint grant applications from conservancies within a landscape could include:

- Construction of stationery predator proof kraals;
- Construction of mobile predator proof kraals;
- Establishment of predator-proof living fences.

#### 4.4.3 *Early warning systems (lion)*

- The purchase of equipment for the establishment of landscape-based early warning systems will be supported but only in the already identified high risk lion corridor areas.
- Grant applications for early warning systems for individual conservancies **will not** be considered.

#### 4.4.4 *Lion ranger projects*

Support to lion ranger projects in the already identified high risk lion corridor areas would need to be co-ordinated and collectively implemented between conservancies in a landscape and could include:

- Procurement of basic equipment and infrastructure to set up the scheme;
- (Re)train, employ and deploy Lion Rangers from within Kunene conservancies experiencing high-levels of HWC;
- Intercede in HWC to manage, mitigate, and prevent conflicts in the conservancies;
- Standardize high quality communication systems between the Lion Ranger program and conservancies.

#### 4.4.5 *Sustainable rangeland management systems*

These activities would involve support to targeted group of conservancies within a landscape to implement sound rangeland management practices for both livestock and wildlife to minimize conflicts and to optimize income from both livestock and wildlife in the long term. This could include:

- The development and implementation of rangeland management plans;
- Production of good quality, reliable rangeland early warning products (maps);
- Produce rangeland condition index maps at regular intervals;
- Produce herbaceous fodder availability map for each conservancy at the end of rainy season (April/May) each year;
- Produce and provide to MET and/or NACSO an overview of rangeland condition indices for all conservancies at the end of the growing season.

## 5 Grant application procedures

### 5.1 Call for grant applications

- CCFN will invite conservancies to submit grant applications once a year. The first call will take place in the first quarter of 2020.

- CCFN reserves the right to solicit grants on a “rolling” basis should this be required.
- Calls for grant applications will be made until all available funding has been committed.
- Target conservancies will be informed by the PMT and the CCFN website and direct communication about dates for calls for applications.
- A period of three months will be allowed for the development of grant applications. The closing date for submission of grant applications will be exactly three months after the call for applications is published.

## 5.2 The application process

- Applicants should prepare a grant application based on the guidelines described in this manual and using the form as outlined in Appendix 1 of this manual.
- Applicants should prepare a draft M&E plan (Appendix 2). Should the application be successful, the plan will be finalised with support from the PMT.
- Where needed, CCFN will provide professional services to assist CMCs and ISOs with the preparation of the grant applications.
- Only grant applications that comply with the guidelines provided in this manual will be considered.

## 5.3 Fast tracking within calls for grant applications

- Applicants can request CCFN to fast track applications before the cut-off (closure) date, if application(s) are time-sensitive and if a rapid response to a HWC situation is crucial and presents adequate justification.
- Fast-tracking can also be requested where the objectives of the application(s) are linked to seasonal events.
- Once the request for fast tracking has been approved by the CCFN, the application(s) will be subjected to the same review process as for grants that do not require fast-tracking.
- CCFN is under no obligation to approve a request for fast tracking.

## 5.4 Eligibility of ISOs

- During the inception phase of the Project, ISOs will be evaluated for eligibility to support clusters of conservancies with the implementation of grant activities.
- At the time of calling for grant applications, the PMT will provide a list of eligible ISOs and conservancies can select and include the ISO of choice in their grant application.
- The roles and responsibilities of the ISO will be defined in the Partnership Statement which will be submitted along with the grant application.
- ISOs will identify suitable cluster co-ordinators who have the required skills and expertise to provide the needed implementation support. The CVs of the selected individuals will be submitted as part of the grant application documentation. The capacity of the individuals proposed will be evaluated as part of the grant application evaluation by the TAP.
- ISO cluster co-ordinators must demonstrate capacity for financial management support to conservancies, expertise in the proposed HWC interventions especially with regard to the proposed technologies, as well as capacity for complying with the reporting and M&E requirements.
- ISO cluster co-ordinators will be required to actively support conservancies to meet the minimum compliance requirements as described in the grant contract.

## 5.5 Documentation for grant applications

The information provided by the applicant must be complete and correct. Please note that in the event that the PMT deems it necessary to request additional documentation, this documentation must be made available in a timely manner by the applicant. Where such documents are in a language other than English, a translation into English must be attached and will prevail for the purpose of interpreting the grant application. The below listed specific supporting documentation must be attached to the grant application.

- The **approved HWCMAF(s)** upon which the grant application is based. The HWCMAF must be compliant with the recommended format described in the MET's *Measures and Guidelines for Implementation of the Revised National Policy on Human Wildlife Conflict Management* (2018).
- A **partnership roles and responsibilities statement**, signed by all parties, should accompany the grant application.
- The curriculum vitae of the key person/s responsible for the implementation of the proposed actions. The CV should demonstrate the person/s suitability to support the implementation of the proposed action.
- In cases where a consultant is to be hired once the grant is approved, CVs may be submitted after approval.
- Evidence that the grant application is reflective of broad participation through a consultative process. This could be in the form of signed minutes and attendance lists should be provided with the grant application documentation.
- Conservancies are required to submit current financial statements and annual budgets along with the grant application.
- Applicants are required to complete the environmental and social safeguards table in the application form. Where needed for substantial infrastructure development, a completed environmental screening checklist and an environmental clearance certificate should be submitted.

## 5.6 Receipt of grant applications

- Applicants should submit grant applications no later than the deadline indicated in the call for grant applications.
- Grant applications can either be received in a sealed envelope by courier or by hand-delivery at the address below or by email submission. A signed and dated receipt will be issued to the deliverer.

Address for hand and courier service delivery:

Poverty Oriented Support to Community Conservation in Namibia  
c/o The Project Manager  
Community Conservation Fund of Namibia  
Unit 7A Southport Building, Hose Kutako Drive  
Windhoek, Namibia

Delivery by email:

[pmanager@ccf-namibia.org](mailto:pmanager@ccf-namibia.org)

- Grant applications sent by any other means (e.g. by fax) or delivered to other addresses will be rejected.

- If delivered by hand or courier, then two hard copies of grant applications and all supporting documentation must be submitted and soft copies (Microsoft WORD and/or Microsoft EXCEL compatible files) emailed. The outer envelope must bear the full name and address of the applicant.
- Applicants should consult the checklist (Appendix 3) to ensure that their grant application documentation is complete.
- The Project Manager (PM) will record the date on which the grant application was received into a “Grants Applications Received” register. This is an excel spreadsheet kept electronically on the PM’s computer with a backup copy kept by the CEO and applicants will receive written acknowledgement (by email) of receipt of the grant application.

## 5.7 Additional information

- Any queries related to the call for grant applications can be directed to the:

Poverty Oriented Support to Community Conservation in Namibia  
 c/o The Project Manager  
 Community Conservation Fund of Namibia  
 P.O. Box 28135, Auas Valley  
 Windhoek  
 Tel: 083 321 7661  
 Email: [pmanager@ccf-namibia.org](mailto:pmanager@ccf-namibia.org)

- Queries relating to the completion of grant applications may be emailed to the Project Manager (PM) up to two weeks before the closing date of a call for grant applications. Questions received after this date will not be answered.

## 6 Grant mechanism

### 6.1 Grant categories and thresholds

- Table 3 provides the guideline threshold amounts that will apply to the various grant categories.

**Table 2: Ceilings of different grant categories**

Category	Amount (EUR) per Application
Collective landscape level grant to 5 or more conservancies	No pre-determined ceiling – budget total will be motivated in the application by the technical support expert.
Grant to a single conservancy^^	The grant amount will not exceed the three-year average annual losses to HWC

- The Project is under no obligation to award a grant just because a grant application has been submitted.
- The Project can award lower or higher amounts than the amounts requested by the applicant.

## 6.2 Frequency of grant applications from target conservancies

- A conservancy may be part of more than one grant application which, if successful, would be implemented at the same time.
- Conservancies that have already received grants and implemented mitigation measures, will be required to demonstrate capacity to fully utilize those grants before further grant applications from the same conservancies are considered.
- CCFN reserves the right to review and adjust the frequency of grant applications from a conservancy based on the number of grants received and any other reasons considered.

## 6.3 Grant application budgets and match funding

- A complete application budget must be presented with adequate cost information to allow TAP to determine if the proposed costs are reasonable. All activities proposed in an application must be fully costed and potential or agreed funding source(s) identified, including the amount sought from the Project grant funds, the conservancy's own contribution and any other funding sources.
- Applicants are encouraged to cost-share and leverage other donor funding to maximize the value and viability of the HWC investment. Grant applications should give a breakdown of how conservancy, grant funds and any other funds leveraged will be used in the proposed activities.
- Applicants' contribution should comprise between 4 % and 50% of the proposed HWC investment. Applicant's contribution can be a cash contribution or an in-kind contribution. Conservancies that have the ability to make cash contributions as matching funds are required to do so. This amount should be indicated in the project budget as a total amount. The applicants' contribution should be indicated as the collective amount to be contributed jointly by the target conservancies in the landscape with the understanding that beneficiary contribution will be less from low income conservancies where poor households are being targeted.
- In-kind contributions could include skilled and unskilled labour contributions towards construction, contribution of specified locally available material in specified quantities, contribution of quantified food and meat to workers during construction, and other relevant contributions. In-kind contributions and their value should be clearly documented in the grant application budget.
- Guiding principles for applicant's contribution will be agreed upon between MET, the PSC and KfW during the inception phase and will be made available to applicants in advance of the development of grant applications.
- Applicants are required to declare funding currently being received from other projects/donors as well as to declare other funding applications already submitted to other projects/donors for consideration.

## 6.4 Allowable costs

The following is a list of allowable costs:

- Purchase and transport of building and construction materials;
- Labour and professional services;
- Equipment;
- Professional materials;
- Printing, publication, and dissemination costs;

- Cost of project specific purchases or activities deemed necessary and included in the grant application and approved in the grant agreement (e.g. materials, machinery, equipment, supplies, construction costs, training materials, workshops, etc.);
- Professional services associated with construction and equipment;
- ISO costs for providing implementation support according to the fixed rates determined by CCFN for time and vehicle costs.

## 6.5 Non-allowable costs

The following is a list of non-allowable costs:

- Seed funds for self-insurance and or compensation schemes;
- Creation of endowments and other similar structure funds;
- Any previous obligations by the GRN to the grantee;
- Bad debts of the grantee;
- Fines and penalties imposed on the grantee;
- Ceremonies, parties, celebrations or “representation” expenses;
- Labour costs for government employees and state-funded institute employees;
- Any expenses related to goods or activities that are illegal under Namibia laws;
- Any purchases or activities not necessary for accomplishing the grant proposal as determined by TAP e.g. purchase of vehicles.

## 6.6 Payments

- Grants will be fixed obligation grants, i.e. the cash portion of grant will be paid in tranches upon acceptance of deliverables.
- A standard disbursement schedule is presented in Table 4. However, this can be amended to accommodate implementation needs.
- Tranche payments may be made at the signing of the grant agreement, at the completion of the project, and at three-month intervals for the duration of the grant period, or any other interval decided on by PMT and the grantee. Each tranche payment will be contingent on successfully meeting the deliverables of the tranche period and on approval of the technical and financial reports for the period under review.
- Successful applicants must be willing to establish a dedicated Namibian bank account for the purposes of managing funds from this grant.
- In the case of a joint application between conservancies and ISOs, payments will be made into a dedicated account for the grant funding held by the entity responsible for the financial management of the grant, as indicated in the grant contract and the partnership statement. Payment from this bank account will require signoff by named account holders for use, and subject to annual audits.
- Direct payments to suppliers, vendors or contractors will be made by the CCFN where appropriate.

**Table 3: Standard disbursement schedule for grants with a duration of up to 24 months**

Tranche	Proportion	Remarks
First Tranche	40 %	within 10 working days upon signing of contract by the parties
Second Tranche	50 %	upon submission of evidence that 75% of the first tranche costs have been incurred

Third Tranche	10%	upon submission of the grantee and CCFN-acceptance of final report (Grant Completion Report)
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## 6.7 Time and funding limitations for grants

- Activities for all grants awarded should be satisfactorily completed and reported on within the timeframe indicated in the grant agreement.
- Grant funds will be paid in quarterly tranches or any other interval indicated in the grant agreement.
- The maximum duration for grants awarded will be twenty-four (24) months.
- No retroactive funding is allowable – expenditures that occur prior to or after the grant activity date specified in the grant agreement will be disallowed.
- The first tranche will be disbursed to the applicant within 10 working days after the delivery of the signed contract to CCFN.

## 6.8 Unspent Funds

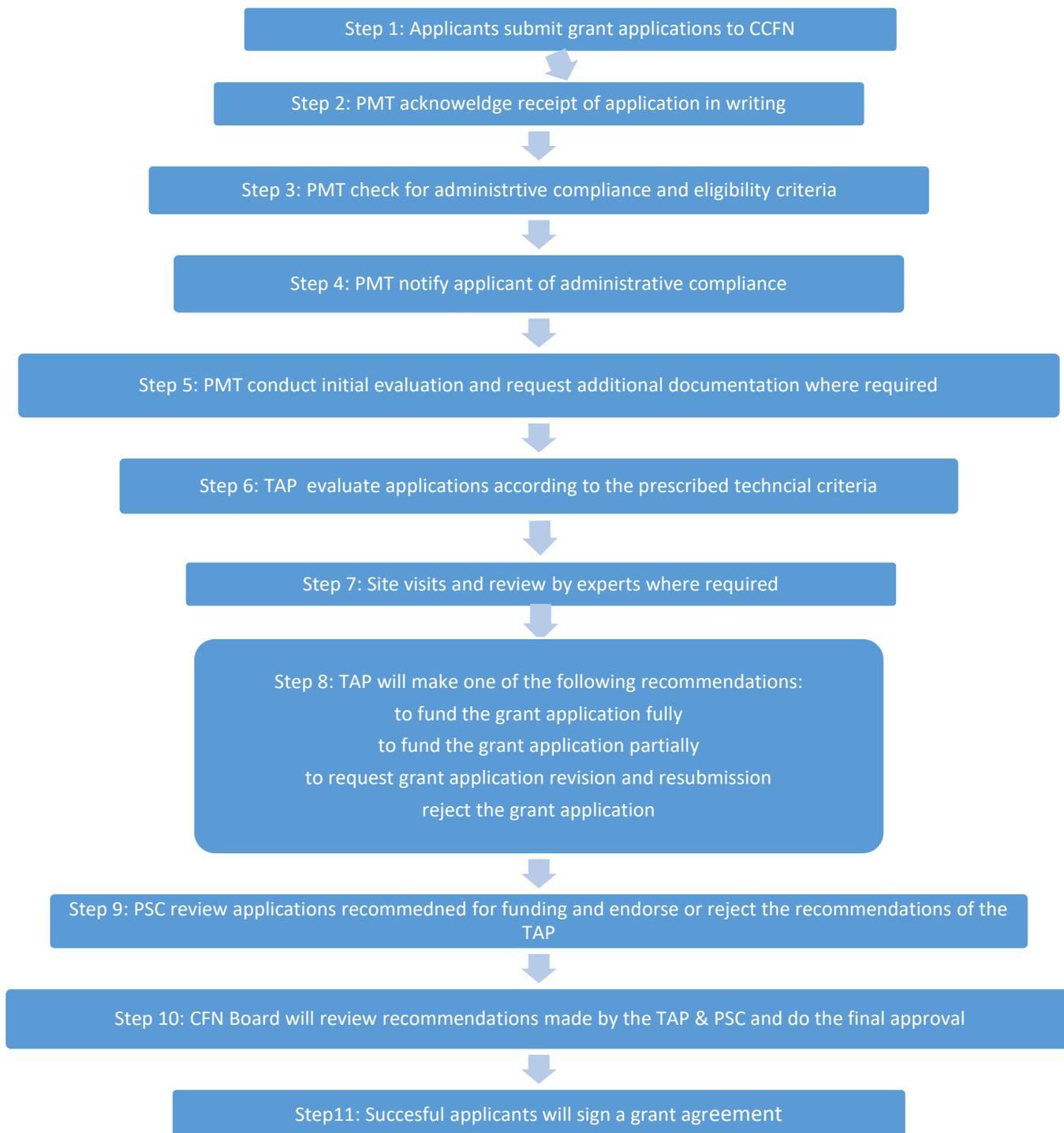
- CCFN and the grantee will work together to ensure effective management of the grant funding provided under the grant agreement.
- The grant funding must be spent in the agreed grant funding period for which it was approved. Funds may only be carried over in exceptional circumstances with the prior written agreement between the CCFN and the grantee.
- To this end, the grantee shall undertake to:
  - inform the CCFN on unspent funds at the earliest possible time;
  - provide a detailed proposal for the utilisation of the funds; and
  - provide a revised timeframe for utilisation of the funds.
- Funds unspent at the end of the grant period without such undertaking on the grantee's side must be paid back to the CCFN.

## 7 Technical evaluation

The eleven compulsory steps of the process from submission of a grant application to the signing of grant agreements are summarized in Figure 2 below.

### 7.1 Administrative screening

- The first step in the evaluation process will be undertaken by the PMT who will ensure that the grant applications received by the deadline comply with the administrative requirements.
- Any application received that includes a conservancy that was not identified as a Project target conservancy will be removed from the screening process and the applicants informed.
- Grant applications that do not comply with eligibility criteria will not be further evaluated. The applicants will be informed accordingly.
- Following the opening of grant applications, the PMT will review the documentation submitted and send an acknowledgement of receipt by means of an email to the applicants as well as information on whether the applicants are administratively compliant or not.
- Grant applications received after the deadline will be opened by the PMT as they are received and if they meet the criteria, a receipt of acknowledgement, confirmation of administrative compliance and information on the next steps to be taken will be sent by email to the applicant.
- Applicants whose grant applications are not administratively compliant, will be informed about what is lacking, requested to revise the grant application and will be given an indication of when the grant application can be re-submitted.
- A component of the administrative screening will be to check that the ISO included in the application has been approved as being eligible to provide support to grant activity implementation.
- The screening process will also include a review of the role and budget allocation to the ISO. These will be reviewed to ensure that the agreed upon rates have been used.
- The PMT will identify administratively compliant and eligible grant applications and convene a review meeting for the TAP.
- The grant applications, the evaluation criteria and evaluation forms as well as the comments from the PMT will be provided to the TAP members at least one week before the TAP meets to review and evaluate the grant applications.



**Figure 2: Steps of grant application**

## 7.2 Role of the TAP

- CCFN has a TAP that is mandated to provide technical inputs and advice to the CCFN PMT and Board. The TAP will undertake thorough technical, financial and feasibility evaluations on grant applications with the view to providing expert advice to the CCFN Board for a final decision.

- The CCFN may appoint technical experts as needed. The TAP members will be selected and appointed on an as needed basis from a pool of experts depending on the nature of expertise required on a project. It is mandatory that the TAP members are neutral and independent (experts are not members of the Board or involved in any way with the development of grant applications or the implementation of the grant activities).
- The TAP will review and evaluate the grant applications received using the evaluation criteria and scoring described in section 7.3. The TAP will document their evaluation of each component of the grant application (in the format provided) and make a recommendation to the PSC and the Board.
- Only grant applications recommended for full or partial funding will be presented to the PSC and then the Board. The recommendations and documentation compiled by the TAP will be presented to the PSC by the PMT for review and discussions and those recommended by the PSC will then be presented to the CCFN Board before approval is confirmed.

### 7.3 Technical evaluation criteria

All grant criteria will be scored as indicated in Table 4 below.

**Table 4: Technical evaluation criteria Score**

1 = very poor; 2 = poor; 3 = average; 4 = good; 5 = excellent

	Criteria	Score
1	Organisational & financial capacity	
1.1	Do the applicants collectively and in particular the ISO demonstrate adequate financial and organizational capacity to implement the proposed action?	
1.2	Does the ISO have sufficient relevant technical expertise and experience to implement the proposed activities?	
1.3	Does the ISO have relevant experience in implementing similar projects?	
1.4	Does the ISO have sufficient management capacity? (trained staff with leadership skills, equipment and ability to handle the grant implementation)	
1.5	Is the work plan and time frame for implementation of the grant activities realistic and feasible?	
1.6	Can the applicants provide match funding? If so, has match funding been committed?	
1.7	Does the grant application provide evidence of broad participation in the conservancy's decision-making process through a consultative process or by vote?	
2	Justification for request for assistance	
2.1	Do the proposed interventions comply with the Project eligibility criteria?	
2.2	Is the specific HWC issue clearly articulated and supported by data?	
2.3	Are the proposed mitigation measures addressing the problem-causing species resulting in the greatest losses?	
2.4	Are the problems negatively impacting on human settlements, water points or revenue-generating activities clearly described, including economic losses and numbers of people affected?	

	Criteria	Score
2.5	Will the activities of this project affect wildlife migration patterns, population dynamics, or behaviour, either positively or negatively?	
<b>3</b>	<b>HWC mitigation impact</b>	
3.1	Have the needs, roles and responsibilities of the project participants, members and beneficiaries been clearly defined so that everyone knows what to expect?	
3.2	Has a landscape approach to HWC mitigation been proposed?	
3.3	Are the expected results of the proposed action financially sustainable?	
3.4	Are the expected results of the proposed action institutionally sustainable (will structures allowing the activities to continue be in place at the end of the action?)	
3.5	Is it likely that the benefits of the proposed action will exceed the costs?	
<b>4</b>	<b>Methodology in terms of mitigation</b>	
4.1	Is there sufficient detail and coherence in the proposed methodology?	
4.2	Is the proposed methodology consistent with similar successful efforts already tried in the area?	
4.3	Is the rationale for using this methodology clearly stated?	
4.4	Is the proposed work plan realistic and logical?	
4.5	Will the proposed activities enhance livelihoods of the members?	
4.6	Will the proposed activities be implemented in the HWC hotspots where most losses are experienced?	
4.7	Is there enough detail to determine how many community members are affected, how many will benefit, and whether they support the proposed project and its activities?	
<b>5</b>	<b>Environmental and social impact</b>	
5.1	Are the proposed activities gender-appropriate, practical, realistic and measurable?	
5.2	Is the environmental and social self-assessment an acceptable reflection of the perceived and anticipated impacts?	
5.3	Are the proposed actions to mitigate negative environmental impacts practical and realistic?	
5.4	Are the potential social and environmental risks clearly identified and appropriate mitigation measures proposed?	

For each of the five components, the average score should be above 3 for the TAP to recommend that the application is either fully or partially funded. If any of the component scores are less than 3, then the TAP could request that the application is revised and re-submitted. If the average score for each component is 3 or below, then the TAP will reject the grant application.

## 7.4 Review process

- The TAP will review all grant applications according to the evaluation criteria appearing above.
- The TAP will recommend grant applications to be funded by consensus.
- An independent review of grant applications by outside experts may be requested by the TAP, if needed.
- Prior to the approval of grant applications, TAP members, CCFN or its consultants may conduct field visits to project sites to validate, in-situ, the conditions and the capacity of the applicant to implement the project. Necessary adjustments to activities and or budgets in the grant application will be recommended to applicants after such site visits
- After the review process, the TAP will make one of the following recommendations to the PSC and CCFN Board:
  - to fund the grant application fully;
  - to fund the grant application partially;
  - not to fund the grant application but encourage a revised submission for the next round;
  - to reject the grant application.
- Only grant applications recommended for funding will be presented to the PSC and the CCFN Board.
- The technical evaluation reports from the TAP will be presented by the PMT to the PSC for review and endorsement of the recommendations of the TAP. The PSC can:
  - endorse the recommendation of the TAP;
  - reject the recommendations of the TAP;
  - revert the application back to the TAP with comments for review.
- The recommendations from the TAP that have been endorsed by the PSC, will then be presented to the CCFN Board for final approval.

## 7.5 Notification of the grant awards

- The PMT will communicate the decisions to the applicants. Any recommended changes in the work plan and/or budget will be negotiated with the applicants prior to the finalization and signing of the grant agreement.
- Grant awards are subject to the availability of funds.
- Successful applicants must indicate to CCFN readiness to use the grant funding.
- The PMT will disburse grant funds once contractual arrangements are completed.

## 7.6 Contractual arrangements

- Successful applicants will sign a grant agreement with CCFN, including conditions relating to the confirmation of the fulfilment of eligibility criteria:
  - a process, roadmap and timeline for addressing identified issues regarding compliance with MET's SOPs for Conservancies;
  - recruitment of qualified external bookkeeper if needed and agreement to accept external financial governance support;
  - agreement to contribute funding for offset payments and beneficiary contribution to other Project measures (in line with the financial capacities of the respective conservancy);
  - commitment by the ISO to support the submission of minimum compliance documentation as defined by MET compliance requirements. Minimum compliance documentation includes Minutes of the AGM to MET, the Annual

Chairperson's report presented to the AGM, the WMUP, the annual financial report and details of bank accounts and signatories and evidence of the implementation of the BDP.

- Provision will be made in the grant agreements with grant recipients to suspend funding and co-operation in case of mal-performance/bad governance or non-compliance with other eligibility criteria.
- Grant agreements will describe the roles and responsibilities of each of the conservancies as well as clearly describing the roles and responsibilities of the ISOs.
- An example of a grant contract is provided in Appendix 4.

## 8 Reporting requirements

- At the end of each three-month period (quarter), the ISOs will be required to submit both evidence of the successful completion of the deliverables for that period - progress and financial reports.
- Grant recipients will be required to submit a draft M&E plan along with the grant application. See Appendix 2 for details. The M&E plan should be user-friendly and possible for grant recipients to report on with limited technical support.
- M&E reporting requirements will be stipulated in the grant contract.
- The format for quarterly progress reports will be distributed upon award of a grant, and will contain indicators that track work to date, a description of the work accomplished to date, problems encountered with project implementation, and financial information, and indicators to report against the monitoring and evaluation plan included in the final grant agreement.
- A final Grant Completion Report in a format to be defined in the Grant Agreement will also be required. Final payment will only be made upon the review and acceptance of this report.
- All technical and financial reports must be submitted in English.

## 8.1 Appendix 1: Grant application form

This form must be completed in full and the maximum length of each section must be adhered to. Grant applications must be completed in Calibri font, size 12. In addition all the documentation outlined in section 5.5 must be provided or explanations regarding the lack of documentation given.

Name and registration number of the lead applicant:

Names and registration numbers of the co-applicants:

Name of ISO:

Proposed action title:

Action locations:

Total cost of the action (N\$):

Amount of match funding (N\$):

Amount requested from CCFN (N\$):

Duration of the action:

ISO details:

Contact person/s name and position/s in organization/s:

Tel:

Email:

Signature of the lead applicant\*:

\_\_\_\_\_ Date: \_\_\_\_\_

\* By signing this Grants Application Form, you certify that the content contained herein is a true reflection of the facts.

### 1. Summary of the action/activities (*max. 1 page*)

Give a brief summary of the proposed activities including

- the main activities to be funded under the grant
- the locations of the proposed activities
- the outcome of the activities
- the intended impact and beneficiaries

### 2. Justification (*max. 2 pages*)

Provide information on the following:

- What are the current losses due to HWC? How many households are affected?
- Which problem-causing wildlife species is being addressed? Where are the HWC hotspots? Justify the need for mitigation measures.
- Provide an explanation of how the proposed activities have been developed including the level of participation of the target groups

- What additional benefits will this grant add to the conservancies in question?
- Describe the inherent or potential risks involved that could negatively impact on the success of the planned activities and any mitigation measures proposed.

**3. Rationale (max. 4 pages)**

Briefly summarize the HWC problem that the proposal is designed to tackle, identify the key objectives of the proposal and explain the advantages of the chosen solution to this problem in supporting mitigation of HWC. Include a description of the objectives of the HWC MAPs of the applicants and how the proposed activities address these objectives. List the objectives and under each objective, list the activities that will be implemented to achieve the objective. For each activity, indicate the conservancies and the sites of the proposed activities. Highlight any appropriate technologies and innovative approaches to be used in mitigating HWC.

**4. Organization and management (max. 1 page)**

Describe the applicant organisations’ technical expertise as well as their institutional and administrative capacity to manage and implement the proposed actions. This should be done for the conservancies collectively and also for the ISO. This should include their track record in implementing similar projects; human and financial resources; and financial management, procurement and reporting procedures/standards.

**5. Work plan (max. 4 pages)**

Please provide a detailed work plan for *Year 1* of the proposed action. The work plan should not specify actual dates, but should indicate *month 1, month 2* etc. It is important that this be as accurate as possible as it will form the basis for the completion of the deliverables schedule against which payments will be made, and this will be incorporated into the grant agreement. However, it is also advised to retain a degree of flexibility when completing the table.

Only the main activity titles should be indicated in the Table based on those listed in Section 3 above; shade in the months per Activity as applicable. Insert additional rows if needed.

WORK PLAN – YEAR 1														
Month	1	2	3	4	5	6	7	8	9	10	11	12		
Activity title														Implementing responsibility
1.														
1.1														
1.2														
2.														
2.1														
2.2														
3.														

WORK PLAN – YEAR 1														
Month	1	2	3	4	5	6	7	8	9	10	11	12		
Activity title														Implementing responsibility
4.														
5.														

If the proposed action is longer than 12 months the table below should be completed which provides an overview of the proposed implementation of the activities in the second year. Only the main activities need be included in this table.

Work plan – Year 2														
Month	1	2	3	4	5	6	7	8	9	10	11	12		
Activity title														Implementing responsibility
1.														
2														
3.														
4.														
5.														

## 6. Environmental and social risk assessment (*Max. 2 pages*)

Applicants are required to complete an environmental and social safeguards screening table (below). The screening table is a checklist which will be used, at a preliminary level, to check whether the proposed measures will have a negative impact on the biophysical and socio-economic environment. This checklist lists ten main components of the environment and asks whether and how each component will be affected. The screening checklist serves as the first line of assessment and will help applicants consider the impacts of their proposed solutions, and whether alternative solutions with less negative impacts might suffice.

What are the potentially significant environmental and social impacts (both positive and negative) of the proposed activities? Please consider each impact carefully especially with regard to any potential long-term impacts. A self- assessment of potential environmental and social risks is required. The self-assessment will be evaluated as part of the evaluation of your application. If any negative impacts are identified, please describe what mitigation measures are proposed.

Component	Description: Will the proposed activities negatively affect ...	yes/no
1. Biodiversity and ecological functioning	any flora and fauna, and/or ecological processes? Aspects to consider include maintenance of key habitats, protection of any rare, threatened or endemic species, processes such as provision of food and shelter, and migratory movements or other behaviour that various species depend on.	
2. Rangeland health and soils	the condition of soils and of the plants which provide grazing and browsing fodder for animals – both livestock and wildlife?	
3. Hydrological functioning	surface and groundwater resources, their recharge, and dynamics such as frequency, capacity and timing of river flows?	
4. Air quality	any polluting emissions into the air, or have any positive or negative impact on climate change?	
5. Landscape beauty / Sense of place	the visual and aesthetic components of the area? These are an important component of the attraction of natural landscapes for tourism, and for the cultural foundation for local peoples.	
6. Livelihoods, employment	the standard of living and livelihood status of both local people, or others elsewhere in Namibia?	
7. Human health	have any impacts on the health of people living or working in the area, or who live in situations which are indirectly affected	
8. Cultural heritage / social cohesion	cultural or traditional values and practices? Address possible tensions between different groups, or whether family and other social ties may be disrupted.	
9. Infrastructure	any infrastructure or facilities? Consider wear and tear, and the need for replacement or upgrading of structures providing water, transport, and communications.	
10. Economic development	the economic situation both locally, to the region and nationally? Will the activity have any negative effects on spending or availability of funds?	

Describe mitigation measures for any potentially negative impacts - please refer to the component number and the description of the component so that the rationale for the measures is clear. Propose mitigation measures for each potentially negative impact.

Categorise the status of the proposed activities after carefully considering the anticipated and perceived environmental and social impacts. Use the table provided to categorise such impacts as follows:

- Category A: activities likely to induce significant and/or irreversible adverse environmental and/or social impacts, or to significantly affect environmental or social components in the implementation areas.
- Category B: activities are likely to have detrimental site-specific environmental and/or social impacts that are less adverse than those of Category A projects.
- Category C: Projects do not directly or indirectly affect the environment adversely and are unlikely to induce adverse social impacts.

## 7. Budget

A detailed budget for the proposed action must be completed according to the format presented below. Different and more lines can be added under each budget line if needed, this is merely an example. Matching funds must be clearly indicated in the budget. Care must be taken with respect to the eligible and ineligible costs as detailed in points 6.4 and 6.5 of the manual. Guideline costing rates for ISO contributions will be provided by CCFN.

	Item	Unit	No of units	Unit cost	Match funds	CCFN grant amount requested	Total cost (N\$)
1	Personnel costs						
2	Travel						
3	Material and supplies						
4	Equipment						
5	Operational costs						
6	Other allowable costs						
			Grand Total				

## 8. Description of partners

The following Table must be completed for key implementers in the proposed action/s.

Description of co-applicants	
TITLE OF ACTION/S:	
Full legal name	
Nationality	
Legal status	
Official address	
Contact person	
Telephone number	
E- mail address	
Experience of similar actions, in relation to role in the implementation of the proposed action	
History of cooperation with the lead applicant	
Role and involvement in preparing the proposed action	

Role and involvement in implementing the proposed action	
Describe the management capacity in relation to the application	

**9. Partnership statement**

A signed partnership roles and responsibilities statement on an appropriate letterhead by each co-applicant must be submitted in addition to the lead applicant. The statement should include the following:

Names of the individuals from each of the applicant organizations who will fulfil a key role in the implementation of the grant activities should be listed along with a description of their roles and responsibilities. This should include the technical components as well as the grant management and reporting requirements.

At the end of this statement, each individual should complete the section below.

I have read and approved the contents of this Grants Application to the CCFN HWCM Project and agree to comply with the roles and responsibilities allocated to me as detailed in the Grant Application Form.

Name: \_\_\_\_\_

Organisation: \_\_\_\_\_

Position: \_\_\_\_\_

Signature: \_\_\_\_\_

Place: \_\_\_\_\_

Date: \_\_\_\_\_

**10. Declaration of other grant funding**

Each of the applicants included in this grant application must provide a summary of current grant funding being received – the amounts received, and the activities being funded needs to be described. The applicants should also include a list and summary of any grant applications that have been submitted where the outcome is still pending.

**11. Declaration by the lead applicant**

Similarly a signed declaration must be submitted by the lead Conservancy Chairperson. It should also appear on an appropriate letterhead. The declaration should include the following:

I the undersigned, being the person responsible in the applicant organisation for the proposed action/s, certify that the information given is true and correct and the time of submission.

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Signature: \_\_\_\_\_

Place: \_\_\_\_\_

Date: \_\_\_\_\_

## 8.2 Appendix 2: Template for monitoring and evaluation (M & E) plan

Each grantee will be required to develop a draft M&E plan, outlining indicators which will be measured and reported against on a quarterly, annual, or end-of-grant basis, and which will be attached here as part of the grant agreement. The grantee will be required to report against the M&E Plan as part of the grant’s quarterly reporting requirements. The M&E Plan also will outline the data collection method for measuring each indicator, the grantee’s approach to ensuring data quality, which indicators will be disaggregated by gender in their reporting, and how the grantee will track the grant’s beneficiaries against the beneficiary estimates provided as part of the grant.

Activities	Results	Indicator	Target	Reporting interval	Data source	Results
<i>Please include all activities listed in the work plan</i>	<i>Describe the expected status after activity implementation</i>	<i>How you will measure the achievement of results</i>	<i>What the intervention is expected to achieve</i>	<i>monthly, quarterly or annually</i>	<i>Project reports, EB data or other sources</i>	<i>The expected status after activity implementation</i>
Activity 1.						
Activity 2						

This table submitted as part of the grant application, will be reviewed, discussed and revised should the grant application be successful. During the process of contract development, CCFN will provide inputs into the proposed M&E plan to ensure that the data required by CCFN is included in the plan.

### 8.3 Appendix 3: Checklist for grant application documentation

	I have read the Guidelines for Applicants document.
	I have completed all sections of the application form as per sections below.
	1. <input type="checkbox"/> Summary of actions/activities (max. 1 page)
	2. <input type="checkbox"/> Justification (max. 2 pages)
	3. <input type="checkbox"/> Rationale (max. 4 pages)
	4. <input type="checkbox"/> Organization and management (max. 1 page)
	5. <input type="checkbox"/> Work plan (max. 4 pages)
	6. <input type="checkbox"/> Environmental and social risk assessment (max. 2 pages)
	7. <input type="checkbox"/> Budget
	8. <input type="checkbox"/> Description of partners
	9. <input type="checkbox"/> Partnership statement
	10. <input type="checkbox"/> Declaration by the applicant
	The appropriate office bearers have signed the form.
	I have kept a copy of my application.
	I have attached copies of required partnership statements and or endorsement letters
	I have attached the CVs of the key implementers
	I have attached minutes of meetings and attendance lists to demonstrate stakeholder consultation processes
	I have submitted a Monitoring and Evaluation Plan.
	I have attached copies of the HWCMP of all the applicant conservancies

## 8.4 Appendix 4: Example of a grant agreement

COMMUNITY CONSERVATION FUND OF NAMIBIA

SMALL GRANT FUND

GRANT AGREEMENT

[Insert grant number]

FOR THE IMPLEMENTATION OF

Insert title of proposed intervention

BETWEEN COMMUNITY CONSERVATION FUND OF NAMIBIA

AND

Insert name of applicants

Hereinafter jointly called the Grantees

This **GRANT AGREEMENT** (this **“Agreement”**), dated *insert date* is made between CCFN Namibia (hereinafter called **“Grantor”**), and *insert name of applicants* (hereinafter called **“Grantees”**) (each, a **“Party”**, and together, the **“Parties”**). Subject to the terms of this Agreement, Grantor will make available to Grantees an amount not to exceed *N\$ insert grant amount* (the **“Grant”**) to carry out the activities described in Section A (the **“Grant Project”**).

## PREAMBLE

WHEREAS, Grantor has been designated by the Ministry of Environment and Tourism to oversee, manage and implement the Project **“Poverty Oriented Support to Community Conservation in Namibia** (hereafter: the Project, co-financed by the Federal Republic of Germany through the German Ministry for Economic Cooperation and Development (BMZ) via the KfW Development Bank. Together these activities will increase income and create job opportunities, whilst preserving the natural resources that serve as the base for the tourism industry.

**WHEREAS**, the Grantees, through their combined efforts aim to reduce the negative impact local wildlife have on the ability of the communities within their conservancy areas, to effectively harvest crops and sustainably manage natural resources.

**WHEREAS**, Grantor desires to make a Grant to Grantees for the purpose of jointly carrying out the activities described herein.

**NOW, THEREFORE**, in consideration of the foregoing and subject to the terms herein, Grantor will provide a Grant to Grantees jointly on the terms and conditions set forth in this Agreement.

## ARTICLE I – AGREEMENT EFFECTIVENESS AND TERM

### Section 1.1 Grant.

- (a) Subject to the terms of this Agreement, Grantor will make available to Grantees an amount not to exceed *insert amount* (the **“Grant”**) to carry out the activities described in Annex 2 (the **“Grant Project”**). In consideration of the funds received, Grantees will perform the Grant Project on the terms provided in this Agreement.
- (b) The goal of the Grant Project is .....
- (c) Total Grantor funding for the Grant Project is limited to the Grant. Each disbursement of the Grant will be subject to the availability of funds to Grantor for that purpose at the time of the disbursement. The Grant may be used only for expenditures for the Grant Project.
- (d) If Grantees chooses to continue the Grant Project after Grant funding has been exhausted, Grantees understands that Grantor makes no commitment of funding beyond the amounts available under the terms of this Agreement. Unless Grantor agrees otherwise in writing, Grantor will not authorize disbursement of the Grant for activities undertaken or for costs incurred after the Expiration Date, as defined below.

### Section 1.2 Term.

This Agreement will be effective as of the date first written above upon signature by the Parties and will expire on *insert date* (the **“Expiration Date”**) unless further extended by written agreement of the Parties, or earlier terminated in accordance with Article IV.

## ARTICLE II – DISBURSEMENT

### Section 2.1 Type of Grant.

The Grant is a Fixed-Obligation Grant and Grantor will disburse the Grant amount to Grantees based on the successful performance and achievement of the proposed activities and milestones. Section 5 of Annex 2 sets forth a schedule of each disbursement of the Grant that is payable to Grantees under this Agreement, the milestone the Grantees must achieve to obtain payment of each disbursement, and

the documentation that Grantees must submit to Grantor to evidence such achievement. At the time Grantor confirms completion of each milestone, the fixed amounts identified as corresponding to each such milestone on Section 5 of Annex 2 will be transferred to the account of Grantees.

**Section 2.2 Financial Plan.**

The budget for permitted costs and expenses or other direct charges in connection with this Agreement is set forth in Annex 2 (the “Budget, Financial Plan and disbursement schedule”). Only costs identified in the Budget and Financial Plan will be eligible for payment. All costs charged against the Grant will be at reasonable prices from responsible sources and subject to the CCFN procurement rules. The Grantees is permitted to move budget amounts up to 10% of the total Grant amount within expense categories in the Budget and Financial Plan by notifying the Grantor, and across expense categories with prior approval of the Grantor. Except as provided in this Agreement, Grantees will not be entitled to any fees or other remuneration, directly or indirectly, for performing the Grant Project under this Agreement.

**Section 2.3 Disbursement Requests.**

(a) Requests for disbursement must be accompanied by all invoices and other proof sufficient to Grantor of Grantees’ satisfaction or completion of each milestone the satisfaction of which was a condition to permit the requested disbursement. All disbursement requests and supporting documentation must be in form and substance satisfactory to Grantor. Grantees must submit a final request for payment no later than 45 days after the Expiration Date or, if applicable, Termination under Article IV, of this Agreement.

(b) Grantor will make all disbursements to Grantees under this Agreement to the following account:

Bank Name:

Address:

SWIFT:

Account Name:

Account #:

Branch code:

(c) All payments by Grantor under this Agreement will be subject to the availability of funds.

**Section 2.4 Assets, Interest and Income.**

Unless otherwise provided in writing by the Grantor, all assets, interest and income derived by virtue of entering this Agreement will remain the property of Grantees, as per the Asset Schedule attached hereto as Annex VII, during the term of this Agreement and thereafter and must be used in support of the Grant.

**Section 2.5 Grantees Contribution.**

Grantees will be responsible for any costs not otherwise funded under this Agreement that are related to carrying out the terms hereof and that are necessary to achieve the purpose of the Grant.

**Section 2.6 Tax Payments.**

Insert appropriate text

**Section 2.7 Procurement:** In addition to following the procurement provisions set out in Annex 3 of this Agreement, the specific procedures defined below shall apply for the procurement of all goods, services and works related to this Agreement:

- (a) The Grantor, on behalf of and as requested by the Grantees, will execute procurements of all VAT related goods and services. The Grantor will execute all procurements according to a procurement plan and will debit the Grant and the Grantees' next disbursement with the actual cost of the goods or services. This arrangement will remain in force until the Parties agree on alternative procurement arrangements.
- (b) The Grantees will submit to the Grantor a quarterly procurement progress report reflecting all procurement details for the previous quarter in the format specified by the Grantor.

**Section 2.8 Unauthorized Use.** The Grantees will be liable for repaying any Grant funds found to have been used for any purpose not authorized under this Agreement or otherwise in violation of any of the terms of this Agreement.

### ARTICLE III – REPRESENTATIONS AND COVENANTS

**Section 3.1 Representations.** Each Party represents and warrants to the other Party, as of the date of this Agreement, that (a) it has the power and authority to execute, deliver, and perform its obligations under this Agreement and each other agreement, certificate, or instrument contemplated hereby; (b) the execution, delivery and performance by such Party of this Agreement and the transactions contemplated herein will not violate any applicable law or regulation or any of its other contractual obligations; (c) no consent, approval, registration or filing with or any other action by any person, entity or governmental authority is required in connection with such Party's execution, delivery and performance of this Agreement; and (d) this Agreement is a valid, binding and legally enforceable obligation of such Party.

**Section 3.2 Covenants.** In the performance of its duties and obligations under this Agreement, Grantees will comply with (a) all of the relevant terms of this Agreement, including any Annexes hereto, (b) all applicable laws, and (c) any guidelines, instructions or procedures provided by Grantor from time to time. For the avoidance of doubt, Grantees agrees and understands that the provisions of the Annexes are an integral part of this Agreement and that, as with other sections of this Agreement, the provisions of each Annex are binding obligations of Grantees under this Agreement.

### ARTICLE IV – SUSPENSION AND TERMINATION

**Section 4.1 Suspension.** Grantor may, at any time and in its sole discretion, suspend the Grant by delivering a written suspension notice ("**Suspension Notice**") to Grantees. In the event that any suspension is related to Grantees' failure to perform any of its obligations under this Agreement, Grantees will have 30 days to cure the breach or failure for which such Suspension Notice was issued; provided that if Grantees fails to cure such breach or failure within the 30-day period, Grantor may terminate this Agreement. During any suspension period, neither Grantor nor Grantees will disburse or claim any Grant funds, and Grantor will not be required to perform its obligations hereunder. If Grantor determines, in its sole discretion, to resume the Grant, Grantor

will deliver to Grantees written notice of the end of such suspension and the resumption of the Grant.

**Section 4.2 Termination.** This Agreement may be terminated prior to the Expiration Date:

- (a) By either Party giving thirty (30) days written notice to the other Party;
- (b) By Grantor, with immediate effect,
  - (i) if Grantees fails to perform any of its obligations under this Agreement, and such failure continues for 30 days after Grantor delivers notice to Grantees of the failure;
  - (ii) in accordance with Section 4.1 following a period of suspension;
  - (iii) if Grantor determines that Grantees is no longer able to implement the Grant Project;  
or
  - (iv) Grantees (1) is terminated or dissolved as a conservancy under Namibian law, or (2) takes steps to place itself, or is placed, in liquidation, whether voluntary or compulsory or under judicial management in either case whether provisionally or finally, or (3) permits execution by way of judicial disposal to be levied against any of Grantees' assets or income.

**Section 4.3 Effect of Expiration or Termination**

- (a) Upon termination of this Agreement under Section 4.2 Grantees will immediately transfer any Grant proceeds in Grantees' possession and any income or assets derived with the Grant to Grantor.
- (b) Upon termination of this Agreement under Section 4.2(b), any amounts due but unpaid under Section 4.3(a) will accrue interest at a rate of 3 per cent starting on the date after any applicable cure period.
- (c) Upon termination or expiration of this Agreement, the Parties will cooperate to close out all matters related to this Agreement in accordance with the procedures to be stipulated in the sole discretion of the Grantor, which might include but might not be limited to, arrangements regarding return of assets acquired from Grant funding, cash transfer of Grant funding, return of documentation, and confidentiality issues.
- (d) Upon any termination or expiration of this Agreement, Grantor's obligation to make the Grant is terminated.
- (e) Termination of this Agreement will not relieve a Party of obligations imposed upon such Party by statute or regulation or by this Agreement.
- (f) All the remedies provided under this Article IV are cumulative and in addition to any other remedies available to the Parties under applicable law.

## ARTICLE V – MISCELLANEOUS

**Section 5.1 Notices and Communications.** Any document or communication required or submitted by either Party to the other under this Agreement must be in writing and, except as otherwise agreed, in English, and will be delivered either by hand, by registered mail or by facsimile (with confirmation copy sent by registered mail). All such communications will be deemed to be received by the other party upon the actual receipt or actual delivery. For this purpose, the address of each Party is set forth below.

### **Grantor details:**

Attention: CEO CCFN  
Address:  
Phone:

Email:

Grantees:

Attention:

Address:

Phone:

E-mail:

Section 5.2 **Intellectual Property.** Grantees may copyright, patent, or secure a trademark for any work, device, instrument, or other intangible property (each, the *“Intellectual Property”*) right that was developed, or for which ownership was purchased, under this Agreement. Grantor, the MET, and CCFN reserve a royalty-free, or otherwise, non-exclusive and irrevocable right to produce, reproduce, publish, or otherwise use any and all Intellectual Property for their individual purposes, and to authorize others to do so for the duration of the Project.

Section 5.3 **Assignment.** Grantees may not assign, delegate or otherwise transfer its rights or obligations under this Agreement without the prior written consent of Grantor.

Section 5.4 **Governing Law.** The laws of Namibia will govern the validity, interpretation and performance of this Agreement and the courts of Namibia will have exclusive jurisdiction.

Section 5.5 **Severability.** The invalidity, illegality or unenforceability of any of the provisions of this Agreement will not affect the validity, legality and enforceability of the remaining provisions of this Agreement.

Section 5.6 **No Waiver.** The failure of either Party to insist upon the strict performance of any provision of this Agreement or to exercise any right, power or remedy consequent upon a breach hereof will not constitute a waiver by such party to require strict and punctual compliance with each and every provision of this Agreement.

Section 5.7 **Entire Agreement and Variation.** This document embodies the entire Agreement between the parties hereto. No amendment of any of the provisions of this Agreement will be of any force or effect unless in writing and signed by both Parties. No waiver of any of the provisions of this Agreement will be of any force or effect unless in writing and signed by the Party against whom enforcement is sought.

Section 5.8 **Annexes.** Each annex, exhibit, schedule, section, appendix and attachment to this Agreement is incorporated herein and constitutes an integral part of this Agreement.

Section 5.9 **Dispute Resolution.** Any dispute arising from or in connection with this Agreement that cannot be settled amicably within thirty (30) days after receipt by one Party of the other Party’s request for such amicable settlement may be submitted by either Party for settlement by arbitration under the rules of arbitration of the International Chamber of Commerce (the “Rules”) by a tribunal composed of three arbitrators appointed in accordance with the Rules. The arbitration will be held in Windhoek, Namibia and will be conducted in English. The arbitration panel will maintain a written transcript of the proceedings or hearings and render a reasoned written award. Judgment on the award rendered by the arbitrator may be entered in any court having jurisdiction thereof.

**IN WITNESS WHEREOF,** Grantor and Grantees, each acting through its duly authorized representative, have caused this Agreement to be executed in their names and delivered as of the date first written above.

CCFN [Grantor]

BY: _____
NAME: _____
TITLE: CHIEF EXECUTIVE OFFICER
DATE: _____

[Grantee]

BY: _____
NAME: _____
TITLE: _____
DATE: _____

[Grantee]

BY: _____
NAME: _____
TITLE: _____
DATE: _____

ANNEX 1

[Insert grant application document]

ANNEX 2

1. Purpose

Subject to the terms of this Agreement, Grantor will make available to Grantees an amount not to exceed *insert grant amount* (the “Grant”) to carry out the activities described in Section A (the “Grant Project”). The Grant Project aims at *insert aims*. The proposed interventions/methodologies are:

Insert summary listing all proposed interventions – as per approved grant application

Specific objectives to be met, activities to be implemented by the Grantees and outcomes expected in the implementation of this grant agreement are:

Insert summary table:

For each Objective:

- List all activities
- List all outputs
- Define deliverables and due dates

2. Expected results of the grant project

The Grant project .....

3. Coordination

a. Responsibilities of the Grantees

To be defined and inserted

b. Responsibilities of the Grantor

To be defined and inserted

c. Responsibilities of the ISO

To be defined and inserted

d. Co-ordination and communication with MET

To be defined and inserted

4. Implementation schedule

Month	1	2	3	4	5	6	Implementing Responsibility
Activity Title							

5. Budget, financial plan and disbursement schedule

This section sets forth the milestones or requirements for payment of each disbursement of the Grant under this Agreement. A milestone will be provided for each line item of the Budget. In the case of a

milestone not achieved, the Grantor's written consent will be required to permit the disbursement of a line item as detailed below.

[Insert budget]

[Insert disbursement schedule]

6. Revised M&E plan

Insert revised and agreed upon M&E plan and reporting schedule

## ANNEX 3 GENERAL PROVISIONS

### A. KfW

[Insert relevant information]

### B. MET

[Insert relevant information]

### C. CCFN

[Insert relevant information]

### D. Limitations on the Use or Treatment of Funding

[Insert relevant information]

### E. Procurement

Grantees will use its reasonable best efforts to ensure that all procurements of goods, services or works under, related to or in furtherance of this Agreement are conducted in a fair, open and competitive fashion, except as otherwise agreed by the parties hereto and CCFN in writing. Grantees will comply with the eligibility requirements related to prohibited source or restricted party provisions in accordance with CCFN policies or guidelines and in accordance with other eligibility requirements as may be specified by Grantor. A summary of the applicable provisions include:

Include summary of procurement provisions

### F. Reports and Information: Access Audits and Reviews

1. *Reports and Information:* Grantees will maintain such books and records and provide such reports, documents, data or other information to Grantor as may be reasonably requested by Grantor from time to time in order to comply with its reporting requirements or related documents. CCFN may freely use any information it receives in any report or document provided to it in any way that CCFN sees fit.
2. *Access, Audits and Reviews:* Upon CCFN's request, Grantees will permit such access, audits, reviews and evaluations or related documents.
3. *Grants Application to Providers:* Grantees will ensure the inclusion of the applicable audit, access and reporting requirements in its contracts or agreements with other providers in connection with this Agreement.

### G. Compliance with Anti- Corruption, Anti-Money Laundering and Terrorist Financing Statutes and Other Restrictions

[Insert relevant information]

### H. Publicity Information

[Insert relevant information]

### I. Conflict of Interest

Grantees will ensure that no officer, director, employee, affiliate, contractor, subcontractor, agent, advisor or representative of Grantees participates in the selection, award, administration or oversight of a contract, Grant or other benefit or transaction funded in whole or in part (directly or indirectly) by CCFN Funding in connection with this Agreement, in which (i) the entity, the person, members of the person's immediate family or household or

his or her business partners, or organizations controlled by or substantially involving such person or entity, has or have a financial or other interest or (ii) the person or entity is negotiating or has any arrangement concerning prospective employment, unless such person or entity has first disclosed in writing to the parties under this Agreement and CCFN the conflict of interest and, following such disclosure, the parties to this Agreement agree in writing to proceed notwithstanding such conflict. Grantees will ensure that none of its officers, directors, employees, affiliates, contractors, subcontractors, agents, advisors or representatives involved in the selection, award, administration, oversight or implementation of any contract, Grant or other benefit or transaction funded in whole or in part (directly or indirectly) by CCFN Funding in connection with this Agreement will solicit or accept from or offer to a third party or seek or be promised (directly or indirectly) for itself or for another person or entity any gift, gratuity, favour or benefit, other than items of *de minimis* value and otherwise consistent with such guidance as CCFN may provide from time to time. Grantees will ensure that none of its officers, directors, employees, affiliates, contractors, subcontractors, agents, advisors or representatives engage in any activity which is, or gives the appearance of being, a conflict of interest in connection with this Agreement. Without limiting the foregoing, Grantees will comply, and ensure compliance, with the applicable conflicts of interest and ethics policies of Grantor as provided by Grantor to Grantees.

J. Inconsistencies

In the event of any conflict between this Agreement and the Program Implementation Agreement, the term(s) of the Program Implementation Manual, as applicable, will prevail.

K. Other Provisions

Grantees will abide by such other terms or conditions as may be specified by Grantor or CCFN in connection with this Agreement.

L. Flow-Through Provisions

In any subcontract or sub-award entered into by Grantees, as permitted by this Agreement, Grantees will ensure the inclusion of all the provisions contained in paragraphs (A) through (L) above.

ANNEX 4

Insert SOP compliance roadmap and conditions

## 8.5 Appendix 3: Terms of Reference – CCFN Technical Advisory Panel

**Community Conservation Fund of Namibia**  
Terms of Reference: Technical Advisory Panel  
Dated: 28 April 2019

The Community Conservation Fund of Namibia (CCFN) is a non-profit Association incorporated under Section 21 of the Companies Act, 2004 with administrative and financial autonomy and the right to own and manage its assets.

In order to assist the CCFN Secretariat and Board with the execution of its responsibilities, and pursuant to the approved Grant making mechanism, the CCFN shall appoint an independent Technical Advisory Panel (TAP). The TAP shall be act as an advisory body to the Secretariat and CCFB Board under the following mandate:

### **Purpose**

The Technical Advisory Panel (TAP) is an independent, impartial team of experts appointed by the Board with the responsibility of providing rigorous, independent technical assessment of funding requests made to the Community Conservation Fund of Namibia.

### **Composition**

- The Technical Advisory Panel shall wholly comprise of independent expert consultants and a representative from MET. The independent expert consultants will be selected according to the grant fields covered in the proposals to be reviewed.
- The TAP will be composed of at least 5 members but will not have a fixed composition since a TAP will be appointed to support each of the particular Project activities as needed.
- The TAP will be supported (secretarial services) by the Secretariat through the PMT of the relevant project.
- The TAP shall be chaired by an appropriate MET representative. The Chairperson will ensure that TAP decisions comply with MET policies and strategies.
- Independent expert consultants will be contracted (for review and recommendations of submissions in response to the call for applications or proposals) based on expertise and knowledge in the relevant grant field under consideration.
- Independent expert consultants will be drawn from CCFNs database of screened consultants.
- The database of independent expert consultants' collective expertise will cover a range of specialties and subspecialties related to conservation, communities, wildlife, mitigation, adaptation, the private sector and the financing of projects in Namibian and/or other developing countries.
- Expert consultants will, therefore, demonstrate recognized capacity and expertise in their fields of competency as it pertains to the Fund's initial result areas, supported by a successful career track record. Familiarity with guidance stemming from the United Nations Framework Convention on Climate Change process, the Intergovernmental Panel on Climate Change and other relevant processes is desirable.

- Each TAP member will have to have demonstrated unquestionable personal reputation, integrity and ethical behaviour throughout his or her professional career.
- The appointments shall be endorsed by the CCFN Board of Directors.
- Individuals serving on the relevant Project Steering Committee (PSC) or on the CCFN Board or Directors are not eligible to be contracted as an independent expert consultant for the TAP.

### **Tenure**

- The TAP tenure shall be limited to the duration of the task (the evaluation of the applications in response to a particular call for proposals/applications).

### **Responsibilities**

The TAP serves as an advisory body to the CCFN Board, and fulfils its mandate under the oversight of the Secretariat. The TAP Chair is to attend the CCFN Board Meetings by invite to report on TAP's work and membership matters.

The primary function of the TAP will be to evaluate grant proposals that have met the Secretariat's screening procedures and make recommendations for approval/amendments or otherwise and encompasses the following;

- The TAP will conduct technical assessments of funding proposals submitted through the Secretariat by Applicants. This will be done in accordance with the Fund's initial proposal approval process, and in order to provide objective technical advice on funding proposals for the Board.
- The TAP is responsible for assessing technical soundness and potential for impact of funding requests in accordance with the CCFN strategy and any subsequent guidance from the Board. This includes new requests, as well as requests to materially reprogram existing grants.
- The TAP is responsible for ensuring that CCFN's investments are positioned to achieve the highest impact and contribute to the targets set out in the relevant Programme Results Matrix.
- In the conduct of its technical assessment of funding proposals, the TAP members will be provided with the final funding proposal; the Secretariat's assessment of compliance with safeguards, policies and performance of the project or programme against activity-specific criteria; and other necessary information that may reasonably be requested from the Secretariat
- The TAP will only review applications which have met at the requirements of the administrative and eligibility screening process which will be undertaken by the Secretariat and PMT.
- The TAP will independently assess the performance of the funding proposals submitted to the Fund against the Fund's activity-specific criteria.
- The TAP will review each request for funding on its own merit and, to the extent possible, consider the overall programmatic mix of interventions and balance of priorities within a conservancy.
- The TAP will be provided with assessment criteria specific to the Project from which the call for applications emanated. The TAP responses and recommendations will be documented according to these criteria.
- Subsequent to its review, the TAP will provide recommendations to the Project Steering Committee and then the CCFN Board and to the Secretariat, in the following areas:

- Prioritizing between competing funding requests (or parts thereof) as appropriate; and
- Providing recommendations and/or adjustments vis-à-vis the priorities and technical approach of a funding request, as needed in order to strengthen alignment with the CCFN requirements.
- As part of its recommendation, the TAP may inter alia:
  - Identify issues and strategic actions that need to be addressed during the grant-making process and/or grant implementation to the satisfaction of the TAP and/or the Secretariat;
  - Recommend removal of specific elements, change in strategic focus, prioritization or financing, and/or reprogramming, should material change be needed in a set time frame, as appropriate;
  - Request clarifications or actions on specific technical recommendations requiring support from technical partners to align with normative guidance and best practice, with coordination from the Secretariat, as appropriate; or
  - Request further iteration for the applicant to resubmit the funding request.
- The final TAP recommendation will be one of the following:
  - to fund the grant application fully
  - to fund the grant application partially
  - to request grant application revision and resubmission
  - reject the grant application
- The Secretariat will follow a documented mechanism/process to provide feedback from the TAP to applicants regarding the quality of their funding request, a clear rationale on its assessment as well as indication of why funding requests have been recommended for further iteration or denied. The outcomes of TAP review and its recommendations will be provided to Secretariat and the applicant prior to grant-making, and to the PSC and the Board as part of the recommendation to approve the grant and its funding.

### **Modalities of work**

The TAP will conduct its initial review of funding proposals remotely, and then a meeting will be convened with all the members of the TAP for further discussion and assessment of the funding proposals/applications. The dates and timelines for reviews will be determined by the Secretariat in accordance with the initial proposal approval process and shall not exceed four weeks (administrative and eligibility screening, TAP review, PSC review and presentation to the CCFN Board). The recommendation of the TAP will be by consensus.

The Secretariat and the relevant Project PMT will provide the necessary operational and administrative support to the TAP.

### **Compensation**

Independent expert consultants will be contracted for their services for the period of the task and may be reimbursed for their time as well as reasonable expenses relating to his/her participation at meetings and for other expenses at levels to be determined by the Board/Donor approved reimbursement policy.

## **Conflict of interest and confidentiality**

Independent expert consultants will be requested to submit a Declaration of Interest which will be reviewed and if found to be eligible, their information will be added to the CCFN's database of experts. Selected consultants will also be reviewed for potential conflict of interest. Before a particular expert consultant is selected for appointment to a particular TAP, his/her information will be updated and screened for possible conflicts of interest.

A conflict of interest arises when a TAP member has an interest, which may include but is not limited to a financial interest that could, or could be deemed to, improperly influence the performance of his or her official duties or responsibilities as a TAP member. A conflict of interest applies to, among others, TAP members who hold positions in government or non-governmental organizations, or who are working in, or have any contractual arrangement as consultants or otherwise with, an accredited entity of the Fund or an executing entity.

Should an actual or potential conflicts of interest be identified, then the expert consultant should not be contracted to serve on that particular TAP. If an actual or potential conflict of interest is identified after an expert consultant has already been contracted to serve on a TAP, then the appearance thereof, shall be immediately disclosed in writing to the Fund's Board of Directors.

It is the duty of the Board of Directors to review these disclosures promptly and to decide whether an actual or potential conflict of interest exists and, if so, whether to issue a waiver defining the extent to which the TAP member in question may participate in any discussion of the issue that has given rise to the conflict.

## **Principles**

Panel members will be expected to;

- Observe the highest fiduciary standards, exercise due diligence, and follow best industry practices in all matters.
- Demonstrate personal integrity – meeting deliberations and decisions are sensitive, confidential information, and cannot be shared outside the meeting nor publicly disseminated, unless legally required or approved by the Board of Directors;
- The
- TAP members shall be indemnified from any liability /possible liability arising from any guidance, recommendations, input and/or advice that is provided in good faith to the Board/Committees by him. Board shall have the final decision on matters advised/recommended.

## **Reporting**

Pursuant to this mandate, the TAP's advice and/or recommendations will be submitted to the PSC and the Board by the Secretariat as part of the documentation pertaining to the funding proposal. The advice provided by the Panel will consist of the outcome of its independent technical assessment and its recommendation on each funding proposal that it considers.

The TAP also has the responsibility to share lessons learned, in particular those that may have broader policy and financial implications. These are to be submitted to the Board through Secretariat as appropriate. As such, the TAP will also contribute input to the CCFN's strategy and policy development processes.

#### **Revision and termination of the terms of reference of the Panel**

The Board may revise these TOR as necessary, and upon the advice of Secretariat, in order to incorporate lessons learned and to reflect the evolving technical needs of the Fund. The mandate of the Panel may be revised or terminated by the Board, if deemed necessary.