

---

# APPRAISAL AND SELECTION OF PROJECTS MANUAL

P-21/2014

Responsible Unit: PMO

## **OBJECTIVE:**

To describe the method used for appraising and selecting projects for which Funbio will act as the implementing agency.

---

## **ORGANIZATIONAL SCOPE:**

This Policy applies to GEF funded projects, even as co-financer.

---

## VALIDATION

Current version	Action	Date
4	Approval	03 Oct 2014
	Effective date	03 Oct 2014
	Next review	Sep 2016

## VERSION CONTROL

Version	Date	Prepared by	Status
0.1	06 Mar 2013	Mônica Ferreira (with consultant Rogério Cabral)	Draft
0.2	08 Mar 2013	Fábio Leite, Flávia Neviani, Jaqueline Ricarte, Mônica Ferreira	Reviewed
1	30 Mar 2013	Rosa Lemos	Approval
1.1	25 Nov 2013	Mônica Ferreira	Reviewed
2	30 Nov 2013	Rosa Lemos	Approval
2.1	03 Jul 2014	Mônica Ferreira	Reviewed
3	10 Jul 2014	Rosa Lemos	Approval
3.1	30 Sep 2014	Mônica Ferreira, Fernanda Marques, Camila Monteiro	Reviewed
4	03 Oct 2014	Rosa Lemos	Approval

## RELATED DOCUMENTS:

- Funbio's Bylaws, Rio de Janeiro
- Funbio's Code of Ethical Conduct, Rio de Janeiro
- I-24 Entry of Projects and Programs to Funbio, Rio de Janeiro
- TFCA Manual – Funbio, Rio de Janeiro, 2011
- Policies and Procedures for the GEF Project Cycle – GEF, 2008
- Framework Document – Funbio, Rio de Janeiro, 2012
- P-24 Funbio Environmental and Social Safeguards Policy
- P-26 Funbio Gender Mainstreaming Policy
- OP-01 Funbio Gender Mainstreaming Operational Procedures;
- OP-03 Funbio Environmental and Social Impact Assessment Operational Procedures
- OP-09 Funbio Project Risk Management Guidelines
- OP-10 Funbio Financial and Economic Analysis Guidelines
- Institutional Capacity Assessment Tool. Xlsx
- Funbio GEF Structure and Staff Plan

### Privacy:

This document is public and is available at Funbio's website. It should not be amended or altered without prior consent.

## TABLE OF CONTENTS

I.	Introduction.....	4
II.	Definitions.....	4
III.	Description of the Procedure .....	5
III.1	Assessment of Eligibility.....	5
III.1.1	Objectives and Introduction .....	5
III.1.2	Stages of Eligibility Assessment .....	6
III.2	Project Development .....	7
III.2.1	Introduction and Objectives .....	7
III.2.2	Technical Appraisal.....	8
III.2.3	Financial Appraisal.....	9
III.2.4	Legal Appraisal.....	10
III.2.5	Risk Appraisal.....	10
III.2.6	Integrated Evaluation .....	10
III.2.7	Final Approval .....	11
Annex I.	Flow Chart of Project Appraisal and Selection.....	12
Annex II.	Project Concept Document .....	13
Annex III.	Project Eligibility Form.....	16
Annex IV.	Technical Appraisal Form .....	17
Annex V.	Financial Appraisal Form .....	21
Annex VI.	Legal Appraisal Form .....	22
Annex VII.	Risk Appraisal Form .....	23
Annex VIII.	Screening Form - Concept Stage .....	24
Annex IX.	Project Monitoring Plan .....	28

## I. INTRODUCTION

1. This document describes the method used for appraising and selecting projects for which FUNBIO will act as the implementing agency.
2. The FUNBIO appraisal and selection method is aligned with the policies and procedures for the GEF project cycle and uses a two-step appraisal process. The first step of this process is the assessment of project eligibility and the second step is the project development. These steps are described below and are also presented in the Flow Chart for Project Appraisal and Selection (Annex I).

## II. DEFINITIONS

3. **Appraisal:** Overall evaluation of the pertinence, feasibility and likely sustainability of a project or program before the decision is taken to support or finance it.
4. **Beneficiaries:** Individuals, groups or organizations that benefit directly or indirectly from projects or programs, whether intentionally or not.
5. **Proponent:** Organization or group of organizations that submit project proposals for support from FUNBIO.
6. **Technical Committee for Independent Evaluation of GEF projects:** According to Section VI of FUNBIO bylaws, technical committees can be formed with the function of providing analyses, advice and recommendations for the Governing Council and the Secretary General. According to the mandate of the Governing Council, the Technical Committee for Independent Evaluation of GEF projects has the power to assist in the evaluation of GEF projects and programs.
7. **Pipeline:** Portfolio of projects under negotiation at FUNBIO. The consolidated view of this pipeline enables the organization to predict the resources it will need for the execution of its projects in the coming years, as well as their expected revenues.
8. **Logical framework:** Instrument designed to improve the conception of the actions, more frequently on the project level. This includes identifying the strategic elements (resources, outputs, outcomes, impacts) and their causal links, the indicators and external factors (risks) that could influence the success of the intervention. It therefore facilitates the conception, execution, monitoring and evaluation of the project or program.
9. **GEF Coordination Unit:** This unit reports directly to FUNBIO's Secretary General, who is responsible for, and has the power to, coordinate the identification, conception, preparation, appraisal, evaluation, approval, supervision and completion of projects, as set forth in GEF C.39/9. The GEF Coordination Unit comprises a coordination team and members with technical, legal, financial, project (PMO), safeguards, gender and internal audit functions.

10. **Pool of Consultants:** A group of external, ad hoc consultants whose competencies complement those of the FUNBIO team and are needed for project appraisal, analyses and evaluation in the different scopes of action.
11. **Framework Document:** Document approved by the Governing Council which delegates power to the Secretary General to decide on the approval of projects according to previously established criteria (framework).

### **III. DESCRIPTION OF THE PROCEDURE**

#### **III.1 ASSESSMENT OF ELIGIBILITY**

##### **III.1.1 OBJECTIVES AND INTRODUCTION**

12. The main objectives of assessing eligibility are to identify at an early stage which projects have no chance of being implemented by FUNBIO and, likewise, which projects are eligible for implementation and therefore need to be described in further detail.  
The assessment of eligibility is the process by which a project concept and its main execution criteria are described. Eligibility is assessed against agreed-upon criteria.
13. Projects are appraised against the following set of minimum criteria:
  - consistency with FUNBIO and GEF objectives and focal areas;
  - appropriateness and coherence of the estimated costs of the project, including estimated co-financing;
  - fulfillment of terms and conditions deemed essential for certain projects. These may include the availability of pre-feasibility studies, building permits, availability of co-financing, the amount of financing requested, and others.
14. Some potentially good but poorly presented projects may be rejected at this stage, but omissions or errors on the part of the proponent should not result in the immediate rejection of a proposal at the eligibility assessment stage, provided that the shortfalls can be rectified.
15. In this case, FUNBIO may indicate the need for the proponent to review its project before resubmitting it, provided there is adequate time for this to be done.
16. It is also at the eligibility assessment stage that the recommendations for the later project development phase are established and agreed upon with the proponents.
17. To successfully pass the eligibility assessment phase a project must first be described in the Project Concept Document (template in Annex II). The aim is to gather the information needed to appraise the eligibility of the project. The Project Concept Document is structured along the same lines as the GEF's Project

Identification Form (PIF) and is provided for all potential proponents with clear instructions about how it should be filled out.

### **III.1.2 STAGES OF ELIGIBILITY ASSESSMENT**

18. The first stage of assessing eligibility consists of checking whether the Project Concept Document has been completed correctly. The proponent must supply all the required information concisely, clearly and comprehensibly.
19. At this initial stage of the eligibility assessment, it must also be checked whether FUNBIO has received more than one application from the same proponent for different projects, and if so, to analyze what kind of projects and the quality of the related Project Concept Documents.
20. When an application is found to be complete and all the key information has been checked, the project can pass to the formal eligibility assessment procedure. This consists of comparing the information supplied on the Project Concept Document with FUNBIO's eligibility criteria.
21. The appraisals to be conducted at this stage focuses on:
  - financial data – proponents often present overestimated or underestimated financing needs and data on funds they intend to raise from other institutions as if these had already been granted;
  - environmental benefits – proponents often give overly optimistic estimates of the benefits their projects will yield, which have to be realigned;
  - technological solutions – awareness must be paid to unjustifiable or premature appraisals of the effectiveness of technological solutions.
22. In addition, the potential direct and indirect environmental and social impacts of the project are identified, as well as any gender impacts, and used to determine the environmental and social safeguards triggered by the project. This information is used to assign the project to safeguards and gender categories and is recorded in the Screening form – Concept Stage (Annex VIII).
23. The Secretary General is responsible for the assessment of project eligibility, which is achieved with the assistance of a Technical Committee. This Technical Committee is formed by the GEF Coordinator and the senior staff of FUNBIO, among which the legal, the monitoring and evaluation, the financial, the procurement and the fiduciary specialists. The technical specialists will be called according to their expertise and the topic / goal / project activities in question. In addition to these specialists, the Committee is composed of the safeguards and gender focal points. This Technical Committee conducts the appraisal of the Project Concept Document and assesses the eligibility of the project, clarifying the characteristics of the proposed project, discussing any discrepancies, and making a final review with the recommendation to either select or not select the project.

This Committee actively participate in the appraisal of project during the development phase. For further details about this Committee - GEF Implementing Agency team-, see in Funbio GEF Structure and Staff Plan.

24. The GEF Coordination Unit's recommendation to fund or not fund eligibility for a project is approved by FUNBIO's Secretary General.
25. When a project is deemed eligible, the Project Concept Document is converted into a Project Identification Form (PIF) and submitted to the GEF Secretariat for approval.
26. The proponent is duly informed of whether their proposal has been judged eligible or not. If it is not, the reasons for this must be clearly set forth in a letter to the proponent.
27. When a project is approved, formal notification to the proponents should include information on the safeguards and gender categories assigned to the project and their associated requirements, as well as guidelines for the submission of the Project Document. In this case, the priority of the project's appraisal is set in the Coordination Meeting, along with the deadlines and allocation of tasks for the technical, financial, safeguards, legal and risk appraisal of the project. The project is recorded on the Project Eligibility Form (Annex III).

## **III.2 PROJECT DEVELOPMENT**

### **III.2.1 INTRODUCTION AND OBJECTIVES**

28. Once a project has been deemed eligible and the PIF has been approved by the GEF, the development stage begins, which consists of a detailed appraisal of the project. The GEF Coordination Unit with the support of the Technical Committee conducts a number of appraisals, and some external consultants (pool of ad hoc consultants) may be called on to evaluate areas of expertise that are not covered by the team.
29. This phase begins by providing the proponent with guidelines on how to prepare the Project Document, including the P-24 Funbio Environmental and Social Safeguards Policy. The Project Document is then submitted for different kinds of appraisal, resulting in a consistent, integrated opinion on the feasibility, risks and benefits of the project.
30. The first check undertaken as part of the Project Development stage is designed to ascertain the accuracy and reliability of the information provided. The information must be up-to-date and describe the project as of the submission date.
31. During the due diligence, the assessment of the institutional capacity of the proponent is conducted using the "Institutional Capacity Assessment Tool. xlsx". This tool was developed by Funbio based on concepts from COSO and ICAS tool

(Institutional Capacity Assessment System – from IDB, applied to Funbio in 2012). This assessment will initially be carried out by Funbio through an ad hoc consultant who will provide support and training until Funbio has the necessary experience to develop this task alone. The guidelines for using the tool are described in the tool itself (see Institutional Capacity Assessment Tool.xlsx).

32. The appraisal constitutes an integral part of a continuous process of elucidation, understanding and discussion of key aspects of the project from the technical, financial, legal and risk management perspectives, as well as potential environmental and social impacts and the institutional capacity of the proponent.

### **III.2.2 TECHNICAL APPRAISAL**

33. The technical appraisal is conducted by the Technical Committee, coordinated by the GEF Coordinator, but external consultants may also be called upon, depending on the fields the project addresses.

34. The technical appraisal needs are determined at the eligibility assessment stage, when the need for internal specialists (within the climate change & clean energy, financial mechanisms, networks, and program management units) or ad hoc consultants is identified (Project Eligibility Form – Annex III).

35. The aim of this appraisal is to verify the technical quality of the project in terms of the consistency of the resources and inputs to be invested in relation to their potential outputs (objectives).

36. The following criteria are important for the technical appraisal of projects:

- contribution to the targets of the CBD;
- contribution to the fulfillment of FUNBIO's institutional mission;
- observance of institutional targets and indicators;
- observance of partners' and financiers' indicators and targets (e.g. GEF indicators); and
- contribution to the strengthening and balance of FUNBIO's project portfolio.

37. In the technical appraisal, the need to activate FUNBIO's environmental and social safeguards mechanisms for environmental and social impact assessment, natural habitats, pest management, physical cultural resources, indigenous peoples, or involuntary resettlement, or FUNBIO's Gender Mainstreaming Policy, is also assessed, and their associated requirements identified. For further details on the operational procedures for environmental and social safeguards and gender mainstreaming, see OP-03 Funbio Environmental and Social Impact Assessment Operational Procedures and OP-01 Funbio Gender Mainstreaming Operational Procedures.



38. An important tool for the technical appraisal is the Logical Framework. It provides a conceptual framework for analyzing projects, because a project is seen as being comprised of a series of means-ends relationships, beginning with input-output linkages, then output-purpose linkages and, finally, purpose-goals linkages. For each foreseeable year of project implementation and operation, explicit verifiable targets are set at each level for each objective. The Logical Framework is thus both an appraisal tool and a means by which the project can be monitored for:

- Implementation efficiency - testing the input-output linkage;
- Operational effectiveness - testing the input-output-purpose linkage; and
- Impact significance - input-output-purpose-goal linkage.

39. During this phase of project development, should be prepared monitoring plans based on the logical framework of the project. Monitoring plans should indicated for each specific goal, expected outcomes, including indicators and targets. Just as the monitoring methodologies and their periodicities. See the model of the monitoring plan in Annex IX.

40. The results of the technical appraisal are recorded on the Technical Appraisal Form (Annex IV). Together with the other types of appraisal, it is used to inform the decision as to whether or not to select the project.

### **III.2.3 FINANCIAL APPRAISAL**

41. The financial appraisal is conducted by the financial and fiduciary specialists of the Technical Committee, coordinated by the GEF Coordinator. The financial team and fiduciary specialists assess the project's financial feasibility and the proponent's administrative and financial capacity and structure.

42. The first type of appraisal addresses the feasibility of the project's financial design, i.e. whether the sources and volumes of resources to be invested are conducive with the proposed outputs. In the appraisal of the sources of financing, the proponent's capacity to effectively access the co-financing expected and needed for the development of the project is judged. In the appraisal of volumes, the coherent allocation of resources for the project's different components and activities is evaluated, for which FUNBIO draws on its extensive experience as executor of environmental projects to adjust the project to the principles of cost-efficiency.

43. For further details on operational procedures for economic and financial analysis, view the OP-10 Funbio Financial and Economic Analysis Guidelines.

44. Another dimension of the financial analysis is the adjustment of the proponent's administrative and financial management and structure to the needs of the project's management, paying attention, when necessary, to any adaptations

required. Here will be assessed the results obtained from the Institutional Capacity Assessment Tool applied during the due diligence.

45. The information gathered and conclusions reached in the financial appraisal are recorded in the Financial Appraisal Form (Annex V).

#### **III.2.4 LEGAL APPRAISAL**

46. The legal appraisal is performed by the legal specialists of the Technical Committee, coordinated by GEF Coordinator. The legal team addresses the legal aspects of the project, from the identification and legal formalization of the proponents and partners to a preventive evaluation of the legality of the project activities according to the applicable Brazilian legislation and the requirements set forth by the GEF, including those associated with Funbio environmental and social safeguards.
47. The aim of the legal appraisal is to foresee any potential legal risks to which FUNBIO or its partners may be exposed during the execution of the project, and identify ways of eliminating them when possible, or else mitigating them.
48. The analyses and findings of the legal appraisal are recorded in the Legal Appraisal Form (Annex VI).

#### **III.2.5 RISK APPRAISAL**

49. Having conducted the technical, financial and legal appraisals, the Technical Committee, coordinated by GEF Coordinator, compiles the risks identified, checks whether there are any other risks, compares if key risk parameters are fully consistent with, and drawn from, the information in the Operational Risk Assessment Framework, and conducts an appraisal based on the risk rating of the potential problems and the possibility of their being mitigated.
50. For the risks that can be mitigated, the suggested mitigation actions from the previous appraisals must be recorded, or else other mitigation measures should be proposed.
51. The project's risk appraisal ends with an opinion of the feasibility of the project, considering the risks identified, their risk rating, and their potential to be mitigated. The risk appraisal is recorded on the Risk Appraisal Form (Annex VII).
52. For further details of on operational procedures for risk management, view the OP-09 - Funbio Project Risks Management Guidelines.

#### **III.2.6 INTEGRATED EVALUATION**

53. The integrated evaluation consists of two stages. In the first, the documents produced in the technical, financial, safeguards, legal and risk appraisals and the project documents (Project Concept Document and Project Document) are

submitted to the Technical Committee for the final review and for their comments and suggestions. This stage lasts 15 days or more.

54. After this phase the appraisal forms, Project Document and comments and suggestions of the GEF Coordinator and the other Committee members are subject to an integrated evaluation by the GEF Coordinator, which, based on the inputs provided, classifies the project under one of the following categories:

- unanimous recommendation;
- partial recommendation (most of the members recommend it);
- partial rejection (most of the members reject it); or
- unanimous rejection.

55. When the GEF Coordination Unit makes a partial recommendation or rejection, it can still ask the project to be returned to the proponent for reviews or adjustments, or may ask to have the project entered into FUNBIO's pipeline, where it will await a new opportunity for appraisal using this procedure.

56. Should the project be rejected unanimously, the GEF Coordination Unit will notify the proponent formally, giving clear reasons for the decision.

57. In case the project is rejected, project proponents may request a review by the Funbio Team, explaining and justifying the points of disagreement. If, after the review, the rejection of the project is maintained, the proponent may appeal such decision through Funbio's Grievance and Accountability System.

58. The GEF Coordination Unit also notifies the GEF of projects that are rejected.

59. Should the project be recommended unanimously, it will be forwarded to the final approval phase.

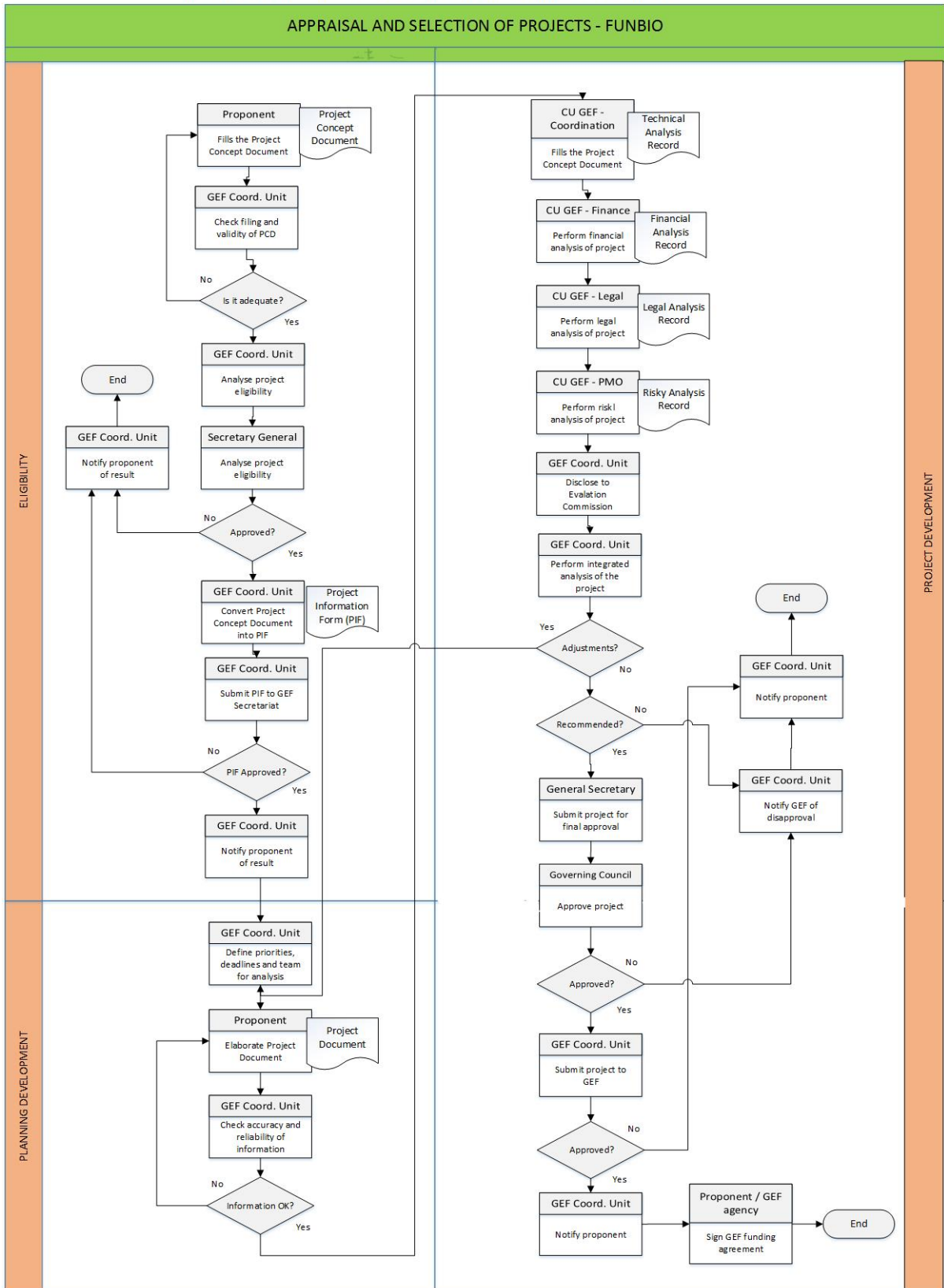
### **III.2.7 FINAL APPROVAL**

60. The project will be submitted by the Secretary General to the Governing Council for appraisal and approval at its next scheduled meeting or at a special meeting called for this purpose, depending on the urgency or importance of the project in question.

61. Once the project is approved (Project Document) it is forwarded to the GEF Secretariat for final approval and once the GEF opinion is returned the proponent is sent formal notification of this decision. The project is then added to FUNBIO's management system for its subsequent implementation.

# Annex I. FLOW CHART OF PROJECT APPRAISAL AND SELECTION

## FLOW CHART OF PROTECT APPRAISAL AND SELECTION



## Annex II. PROJECT CONCEPT DOCUMENT

### Part I: Project Information

<b>Project/Program Title</b>	
Date of concept document	
Name of Author	
E-mail	
Partners involved	
Potential / interested financiers	
Estimated value of donations	
Estimated co-financing	
Which international conventions is the project related to?	Biodiversity ( ) Climate Change ( ) Desertification ( ) POPs ( ) Other ( ) -> specify:
Estimated time frame of project	
Does the project need government approval? From what sphere of government?	
Has government approval been given?	Yes ( ) – attach documents No ( )
What is/are the target biome(s)?	

Project Objectives:					
Project Components	Expected Outcomes	Expected Outputs	Amount to be financed	Amount to be co-financed	Source of funding

Project Description:
----------------------

<b>Components</b>

### Part II: Justification

#### Project Description:

Brief description of the project, including:

- Fundamental global environmental problems, causes and obstacles the project aims to impact;
- Background on the situation and any other associated projects that have similar goals;
- General information and knowledge of the project site, including past or prospective land/air contamination;
- Anticipated environmental and social impacts of the project and status of land ownership (private/public, people with titles, people with no legal titles but traditional titles or people with no titles or occupants, including indigenous peoples);
- Desirable scenario after project implementation, with a brief description of the expected outputs and components of the project;
- Justification for extra costs and the contributions expected to be made to the baseline situation, including co-financing;
- Benefits for biodiversity conservation and/or the mitigation of the effects of climate change;
- Innovations, sustainability and capacity for replication.

**Stakeholders:**

Identification of the main stakeholders involved in the project, such as civil society, indigenous peoples, gender groups (vulnerable groups) and other groups, describing how they have been involved in the preparation of the project.

**Risks:**

Identification of the risks inherent to the project, including climate, social, environmental and other changes, identifying what measures could be taken to mitigate these risks.

**Coordination:**

Identification of the integration, synergies and interactions of the project with other initiatives and projects developed by the proponent or by FUNBIO.

**Consistency:**

Description of the project's consistency with national strategies, policies and plans or with related international conventions.

**Monitoring:**

Description of the project's monitoring methodology and how will progress towards the goals and objectives be measured (propose 3-5 key indicators).

**Part III: Management Team**

Describe the professional profile of the people directly responsible for running the project, giving their position, experience, main functions and the time they will dedicate to the project.

Name	Position and Functions	Status (employee, consultant, partner institution, other)	Dedication (no. of months and hours per week)

## Annex III. PROJECT ELIGIBILITY FORM

<b>Project Title</b>	
Submission date	
Proponent	
Partners involved	
Financier	
Estimated financing	
Estimated co-financing	
Source of co-financing	
Biodiversity conservation project?	Yes ( ) No ( )
Estimated duration of project	
Which biome(s)?	
Which themes?	
Does it involve activities not directly related to the conservation of biodiversity?	
What program areas should work on this project?	
What strategic lines does this project fit into?	
Is the project a replica of or similar to any other project already run or is it a novel project?	
Should the project be adjusted before it can be added to the FUNBIO pipeline?	Yes ( ) No ( )
Who was responsible for the assessing the project's eligibility?	
Signed:	
Priority analysis of project development	High ( ) Medium ( ) Low ( )
Period for analysis of project development	
Definition of the technical analysis staff	
Need to contract experts?	Yes ( ) No ( )
Which ones ?	



## Annex IV. TECHNICAL APPRAISAL FORM

<b>Project Title</b>	
Starting date of Technical Appraisal	
Target Biome(s)	
Description of project goal:	
How will the project help meet the AICHI targets? (Which targets and which contributions?)	
How will the project help attain other key indicators (GEF indicators, government indicators, etc.)?	
Can this project add value to Funbio portfolio and strategy?	Yes ( ) No ( )
If YES, how?	
Is there any technical coherence between the proposed objectives and the planned resources / inputs / activities?	
Provide justification for the involvement of FUNBIO and the potential financiers identified in the project.	

<b>Gender Mainstreaming Categorization</b>			
Gender Mainstreaming Category	I ( )	II ( )	III ( )

<b>Summary of Key Gender Issues (for category II and III)</b>
<b>Describe any gender issues and impacts associated with the proposed project. Identify and describe how the project benefit differently men and women, with special attention to gender roles:</b>
<b>Describe any gender integration mechanism to be used by the project (if relevant).</b>
<b>Describe measures taken by the proponent to address gender issues. Provide an assessment of proponent capacity to plan and implement the measures described.</b>
<b>Identify the key stakeholders and describe the mechanisms for consultation and disclosure on gender issues, with an emphasis on potentially affected people from vulnerable groups.</b>

<b>Environmental and Social Safeguards Categorization</b>			
Safeguards Category	No Impact [ ]	Low Impact [ ]	Significant Impact [ ]

Safeguards	Triggered ?	Explanation	Categorization
Environmental and Social Safeguards			
Natural Habitats			
Involuntary Resettlement			
Indigenous People			
Pest Management			

Physical Cultural Resources

**Summary of Key Safeguard Issues**

Describe any safeguard triggered, environmental and social issues and impacts associated with the proposed project and related justification. Identify and describe any potential large scale, significant and/or irreversible impacts.

Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area.

Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

Describe measures taken by the proponent to address safeguard policy issues. Provide an assessment of proponent capacity to plan and implement the measures described.

Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

Description of relevant information/knowledge of the project site by one of Funbio national experts.

**Safeguards and Gender Preparation Plan**

Tentative date for preparation of Safeguards Document(s) – Appraisal Stage

Tentative date for completing safeguards-related studies and instruments (plans)

Gender Action Plan (if category III only)

Tentative date for disclosure (prior to appraisal)

**Safeguards and Gender Monitoring**

**P-24 / OP-03 Environmental and Social Impact Assessment**

Does the project require a stand-alone ESA (including ESMP) report? Yes [ ] No [ ] N/A [ ]

Are the cost and the accountabilities for the ESMP incorporated in the project? Yes [ ] No [ ] N/A [ ]

**P-24 / OP-04 Natural Habitats**

Would the project result in any significant conversion or degradation of critical natural habitats? Yes [ ] No [ ] N/A [ ]

If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to Funbio? Yes [ ] No [ ] N/A [ ]

Does the project finance commercial harvesting of forests, and if so, does it include provisions for certification system? Yes [ ] No [ ] N/A [ ]

**P-24 / OP-07 Pest Management**

Does the ESA adequately address the pest management issues? Yes [ ] No [ ] N/A [ ]

Is a separate PMP required? Yes [ ] No [ ] N/A [ ]

If yes, has the PMP been reviewed and approved by a safeguards specialist? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist? Yes [ ] No [ ] N/A [ ]

**P-24 / OP-05 Physical Cultural Resources**

Does the ESA include adequate measures related to cultural Yes [ ] No [ ] N/A [ ]

<b>Safeguards and Gender Monitoring</b>			
property?			
Does the project incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [ ]	No [ ]	N/A [ ]
<b>P-24 / OP-02 Indigenous Peoples</b>			
Has a separate Indigenous Peoples Plan or equivalent (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [ ]	No [ ]	N/A [ ]
<b>P-24 / OP-06 Involuntary resettlement</b>			
Has a resettlement plan/abbreviated plan/policy framework/ process framework (as appropriate) been prepared?	Yes [ ]	No [ ]	N/A [ ]
<b>All safeguards</b>			
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [ ]	No [ ]	N/A [ ]
Have costs related to safeguard policy measures been included in the project cost?	Yes [ ]	No [ ]	N/A [ ]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [ ]	No [ ]	N/A [ ]
<b>Consultation and Disclosure</b>			
Have relevant safeguard policies documents been made public on Funbio's website?	Yes [ ]	No [ ]	N/A [ ]
Have relevant documents been disclosed in the project area in a public place and in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [ ]	No [ ]	N/A [ ]
Have appropriately made consultation been carried out with project-affected groups and local NGOs?	Yes [ ]	No [ ]	N/A [ ]

<b>Safeguards and Gender Compliance Monitoring Indicators</b>
<b>Environmental Assessment</b>
<b>Natural Habitats</b>
<b>Pest Management</b>
<b>Physical Cultural Resources</b>
<b>Indigenous People</b>
<b>Involuntary Resettlement</b>
<b>Gender</b>

<b>Disclosure Requirements</b>
<b>Environmental Assessment/Management Plan/Other</b>
Date received by Funbio
Date published on Funbio's website
Date of disclosure at project area
Comments:
<b>Resettlement Action Plan/Framework/Policy Process</b>
Date received by Funbio

Date published on Funbio's website
<b>Date of disclosure at project area</b>
Comments:
<b>Other specific management plans (specify here)</b>
Date received by Funbio
Date published on Funbio's website
<b>Date of disclosure at project area</b>
Comments:

<b>Environmental and Social Safeguards and Gender Specialists</b>
Environmental Safeguards Specialist(s)
Social Safeguards Specialist(s)
Gender Specialist(s)

<b>Approvals</b>
Person / people responsible for Technical Appraisal
Date of conclusion of Technical Appraisal
Signed:
Person / people responsible for Safeguards Appraisal
Signed

## Annex V. FINANCIAL APPRAISAL FORM

<b>Project Title</b>	
Starting date of Financial Appraisal	
Financier(s)	
Estimated amount – Total	
Estimated amount – In Kind	
Estimated amount – Cash	
How will the resources (in kind / cash) be drawn down?	
Estimate co-financing – Total	
Estimate co-financing – In Kind	
Estimate co-financing – Cash	
How will the co-financing be guaranteed?	
How committed are the backers to the co-financing?	
Have any agreements already been signed for the co-financing?	Yes ( ) No ( )
Does the expected financing cover the costs of achieving the project's goals?	Yes ( ) No ( )
Is there any evidence that the proponent's internal controls can assure that the financial operations have been approved by a person with the authority to do so and are consistent with the relevant laws and regulations?	Yes ( ) – specify: No ( )
Is there any evidence that the proponent's internal controls can assure that the accounting records are complete, accurate and maintained on a consistent basis?	Yes ( ) – specify: No ( )
Is there any evidence that the proponent's accounting system can assure that the funding received will be duly authorized, used for the designated purpose, and registered in an organized and consistent manner?	Yes ( ) – specify: No ( )
Have the institution's financial statements ever been subject to an external audit?	Yes ( ) – provide latest audits No ( )
Is there any exchange rate risk involved in the project?	Yes ( ) No ( )
If YES, what is the sensitivity of this risk?	
Are there ways of minimizing this risk? Please specify.	Yes ( ) No ( )
Have any other financial and/or accounting risks been identified?	Yes ( ) – specify: No ( )
Results of the Financial and Economic Analysis	
Person / people responsible for the Financial Appraisal	
Date of conclusion of Financial Appraisal	
Signed:	

## Annex VI. LEGAL APPRAISAL FORM

<b>Project Title</b>	
Starting date of Legal Appraisal	
Proponent(s)	
Legal status of proponent(s)	
What essential legal instruments (contracts, collective bargaining agreements, other agreements) must be signed before the project can be conducted?	
What desirable legal instruments (contracts, collective bargaining agreements, other agreements) should be signed before the project can be conducted?	
Has the proponent signed these kinds of instruments for other projects?	Yes ( ) No ( )
Who within the proponent's organization has the legal authority to sign such documents?	
What Brazilian legislation are the project activities subject to?	<input type="checkbox"/> Labor <input type="checkbox"/> Civil <input type="checkbox"/> Environmental <input type="checkbox"/> Human Rights <input type="checkbox"/> Indigenous <input type="checkbox"/> International <input type="checkbox"/> Intellectual Property <input type="checkbox"/> Procurement law <input type="checkbox"/> Other.....
Will FUNBIO's safeguards mechanisms need to be activated? If so, which one(s)?	<input type="checkbox"/> Environmental and Social <input type="checkbox"/> Natural Habitats <input type="checkbox"/> Involuntary Resettlement <input type="checkbox"/> Indigenous Peoples <input type="checkbox"/> Pest Management <input type="checkbox"/> Physical Cultural Resources <input type="checkbox"/> Gender
What legal risks have been identified for this project, including significant law suits currently against the proponent?	
Can these risks be mitigated?	Yes ( ) No ( )
Person/people responsible for Legal Appraisal	
Date of conclusion of Legal Appraisal	
Signed:	

## Annex VII. RISK APPRAISAL FORM

<b>Project Title</b>			
Starting date of Risk Appraisal			
<b>Technical Appraisal</b>			
<b>Technical Risks Identified</b>	<b>Risk Rating</b>	<b>Mitigable</b>	<b>Proposed Action</b>
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
<b>Financial Analysis</b>			
<b>Financial Risks Identified</b>	<b>Risk Rating</b>	<b>Mitigable</b>	<b>Proposed Action</b>
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
<b>Legal Appraisal</b>			
<b>Legal Risks Identified</b>	<b>Risk Rating</b>	<b>Mitigable</b>	<b>Proposed Action</b>
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
	<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low	<input type="checkbox"/> No <input type="checkbox"/> Yes	
Are the unmitigable risks identified such that the project should <u>not be selected</u> ?	<input type="checkbox"/> No <input type="checkbox"/> Yes Justification:		
Person/People in charge of the Risk Appraisal			
Date of conclusion of Risk Appraisal			
Signed:			

## Annex VIII. SCREENING FORM - CONCEPT STAGE

### Part I: Safeguards Assessment Team

<b>Project/Program Title</b>
<b>Date of safeguards document – concept stage</b>
<b>Environmental Safeguards Specialist(s)</b>
<b>Social Safeguards Specialist(s)</b>
<b>Gender Specialist(s)</b>

### Part II: Project Information

<b>Project/Program Title</b>			
<b>Target Biome(s)</b>			
<b>Total GEF financing</b>			
<b>Total co-financing</b>			
<b>Total project amount</b>			
<b>Proposed Environmental and Social Safeguards Category</b>	No Impact [ ]	Low Impact [ ]	Significant Impact [ ]
<b>Proposed Gender Category</b>	I ( )	II ( )	III ( )
<b>Project Objectives</b>			
<b>Project Description</b>			

### Part III: Safeguards Assessment

<b>Project/Program Title</b>
<b>Project location and environmental and social characteristics relevant to the safeguard analysis, including status of land ownership (if known)</b>
<b>Institutional Capacity for Safeguards Policies</b>

Safeguard Policies	Triggered? <sup>1</sup>	Justification / Explanation
Environmental and Social Assessment	Yes [ ] No [ ]	
1) Does the project impact the physical environment?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project impact the biological environment?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project		

<sup>1</sup> Questions answered as “maybe” will be interpreted as Yes for the purposes of this exercise.



Safeguard Policies	Triggered? <sup>1</sup>	Justification / Explanation
impact human health and safety?	Yes [ ] No [ ] Maybe [ ]	
4) Does the project impact physical cultural resources?(see additional questions on this topic below)	Yes [ ] No [ ] Maybe [ ]	
5) Does the project impact the current socioeconomic context?	Yes [ ] No [ ] Maybe [ ]	
<b>Natural Habitats</b>	Yes [ ] No [ ]	
1) Does the project impact critical natural habitats?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project impact non critical natural habitats?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project involve forest management, including non-timber forest products?	Yes [ ] No [ ] Maybe [ ]	
<b>Pest Management</b>	Yes [ ] No [ ]	
1) Does the project involve any activity that involve the application, acquisition, storage, or use of pesticides / herbicides?	Yes [ ] No [ ] Maybe [ ]	
<b>Involuntary Resettlement</b>	Yes [ ] No [ ]	
1) Does the project involve the involuntary taking of land?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project involve changes in productive, cultural, economic or social processes of populations?	Yes [ ] No [ ] Maybe [ ]	
3) Does the project involve any restriction or modification to the access or use of natural resources by populations?	Yes [ ] No [ ] Maybe [ ]	
<b>Indigenous People</b>	Yes [ ] No [ ]	

Safeguard Policies	Triggered? <sup>1</sup>	Justification / Explanation
1) Does the project involve or affect, directly or indirectly, indigenous people?	Yes [ ] No [ ] Maybe [ ]	
<b>Physical Cultural Resources</b>	Yes [ ] No [ ]	
1) Does the project cause direct damage to physical cultural resources?	Yes [ ] No [ ] Maybe [ ]	
2) Does the project potentially impact physical cultural resources?	Yes [ ] No [ ] Maybe [ ]	
3) Is the project located in an area known for the presence of physical cultural resources, as recognized by competent public agencies?	Yes [ ] No [ ] Maybe [ ]	
4) Does the project involve significant excavations, demolition, movement of earth, flooding or other significant environmental change?	Yes [ ] No [ ] Maybe [ ]	

#### Part IV: Safeguards Preparation Plan

<b>Project/Program Title</b>
<b>Tentative date for preparation of Safeguards Document – Technical Appraisal Form (list all studies to be conducted and tentative dates for each)</b>
<b>Tentative date(s) for completing safeguards-related studies and instruments (list all studies and instruments to be prepared and tentative dates for each)</b>
<b>Tentative date for disclosure (prior to appraisal)</b>
<b>Estimated cost for the ESA/ESIA/ESMP/other plans</b>

## Part V: Approvals

<b>Project/Program Title</b>
<b>GEF Coordinator</b>
<b>GEF Coordinator Approval Date</b>
<b>Safeguards Coordinator</b>
<b>Safeguards Coordinator Approval Date</b>

## Annex IX. PROJECT MONITORING PLAN

<b>Project name:</b>

<b>Date of the plan:</b>

<b>Responsible for monitoring plan:</b>

<b>Project general objective:</b>

### 1. Project specific objectives

Specific Objectives	Expected outcomes	Expected outputs	Indicators	Targets	Deadline	Methods		Periodicity	
						Reports	Field visit	Reports	Field visit
1									
2									
3									



**2. Project alignment with GEF and CBD**

Specific Objectives	GEF Focal Area	GEF Indicators	CBD goals (Aichi)
1			
2			
3			

**3. Project Risk Analysis (as identified in appraisal phase):**

Risks	Risk category	Risk level	Mitigation
1	Legal		
2	Financial		
3	Technical		



#### 4. Safeguards

Safeguards	Applicable
1 - Environmental and Social	
2 - Natural habitats	
3 - Natural Resettlement	
3 – Involuntary Resettlement	
4 – Indigenous People	
5 – Pest Management	
6 - Physical Cultural Resources	
7 - Gender	
...	

#### 5. Funbio’s Monitoring Team

Names	Areas of Expertise
1 -	
2 -	
3 -	
3 -	
...	



**6. External monitoring experts (if needed)**

Names	E-mail	
1 -		
2 -		Areas of Expertise
3 -		
4 -		
...		