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# GRANT AWARD POLICY

P-34/2017

Area in charge: Program Management Superintendency

## **OBJECTIVE:**

Describe the FUNBIO directives for Calls for Project Proposals, document the roles and responsibilities of the Secretary General's Office and other key functions; and summarize the main aspects.

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## **APPLICABILITY:**

This policy applies exclusively to Funbio and covers all areas.

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## VALIDATION

Version in effect	Action	Date
1	Approved by the Secretary General's Office	Mar 27, 2017
	Came into effect	Mar 28, 2017
	Up for review	Mar 2021

## CONTROL OF VERSIONS

Version	Date	Drafted by	Status
0.1	Mar 10, 2017	Fábio Leite	Minute
0.2	Mar 23, 2017	Mônica Ferreira	Revised
1	Mar 30, 2017	Secretary General	Approved

## RELATED DOCUMENTS:

- Funbio's Code of Ethics;
- Funbio's Policy for the Prevention and Suppression of Money laundering and Terrorist Financing;
- Funbio's Policy for Reporting Misconduct and/or Concerns;
- Funbio's Institutional Assessment Procedures;
- Grant Award Procedures.

## CONTACT:

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**Privacy:** This document is public and available for consultation on the Funbio website. It must not be edited or altered without express consent.



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## I. INTRODUCTION

1. Throughout its history, Funbio has always used open calls to select projects in accordance with a specific intervention logic. In 27 calls, hundreds of projects were received, of which 256 projects were funded from 206 different institutions<sup>1</sup>.
2. Cases in point were the 96/97 Call, the open calls for Partnership Funds, the Sustainable Production Support Program, the communitarian projects on Phase I of ARPA, Phases I and II of the Atlantic Forest Conservation Fund (AFCoF), the Kayapó Fund, the Tropical Forest Conservation Act – TFCA Brazil, and the Marine Conservation initiative with Chevron.
3. This disbursement-based support mechanism has numerous benefits, including:
  - Equal opportunities for interested institutions;
  - Strengthens these organizations institutionally;
  - Allows innovative ideas to be floated and tested;
  - Decentralizes actions;
  - Fosters experience-sharing between different organizations;
  - Enables the careful, in-depth comparison of proposals.
4. This Policy is intended to define Funbio's principles, directives and institutional working structure for Project Calls and is to be widely divulged among the Fund's staff and partners.

## II. DEFINITIONS

5. **Call for Project Proposals** - a process that defines the form and formats in which project proposals are to be presented, the deadlines by which they are to be received, and the procedures according to which they will be vetted and selected.
6. **Disbursement** – transfer of funds from Funbio to the proponents of the selected projects.
7. **Project Proposal** – the document containing the proposal for the project the proponent wishes to submit for Funbio's consideration.
8. **Proponent** - the institution responsible for the design and execution of the project, or most of it; the signatory of the contract with Funbio; the institution in charge of coordinating the partner institutions (should there be any).

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<sup>1</sup> Data from December 2016.

9. **Partner Institutions** – Institutions taking part in the project and making some technical contribution to its success under the Proponent’s coordination. Partner institutions are parties to the project and can co-sign the contract sealed between Funbio and the Proponent.
10. **Co-financing** – Payment made in specie or in kind amounting to an agreed percentage of the overall financing allocated to the project.
11. **Beneficiaries** – the individuals, communities or institutions benefitted by the project’s results, whether immediately or over the mid to long term.

### III. DECLARATION OF PRINCIPLES

12. Funbio recognizes that, in a country of continental proportions like Brazil, no organization can hope to know all the stakeholders operating in any one sector, and that, as a result, funding opportunities should be divulged as amply as possible.
13. One of Funbio’s values is innovation, so any mechanism that stimulates or strengthens the emergence of innovative ideas and organizations deserves Funbio’s full attention and backing.
14. Funbio understands that the projects it funds should serve to strengthen the institutions that execute them.
15. Funbio understands that financing projects does not signify authorship of those projects or ownership of their outcomes/results. Funbio considers itself a partner that contributes to the success of the projects it finances.
16. Funbio understands that transparent processes based on the merits of the proposals it selects are the best means towards achieving expressive results that further its mission.
17. Funbio will divulge this policy clearly and amply to all of its partners and it shall apply to all Calls for Projects.

### IV. INSTITUTIONAL STRUCTURES

18. The Program Management Superintendency is responsible for managing Funbio’s Calls for Projects.
19. Other areas of Funbio, such as Communication and Marketing, Finances, and Legal Department, will provide support on this Project Call.
20. Funbio will use digital media, the Funbio website and social media as its main channels of communication throughout the Call for Projects process.

## V. FUNBIO'S DIRECTIVES FOR CALLS FOR PROJECTS

21. Calls for Projects should contain specific descriptions that clearly state the goals and processes to those interested in submitting proposals to Funbio.
22. The following information must be provided in all calls:
  - a) Clear deadlines and rules for the submission of proposals;
  - b) Criteria of eligibility for proponent institutions;
  - c) Criteria of eligibility for project themes/types;
  - d) Whether co-finance is required and, if so, the applicable rules;
  - e) The basic documentation that must accompany each project submission;
  - f) A model of the forms that need to be filled in and all annexes thereto;
  - g) Details on how the projects will be assessed and selected, the criteria to be applied in doing so and their respective weights in the final score;
  - h) Address and deadline for questions or requests for clarification;
  - i) The Institutional Assessment form (see OP 13: Institutional Assessment Procedures);
  - j) Contact information for the person in charge of the Call at Funbio.
23. The following are obligatory for all of Funbio's Calls for Projects:
  - a) Publication of the Call on the Funbio website, with an announcement on the Home page;
  - b) A timeframe must be set for requests for further clarifications from interested organizations;
  - c) Queries received and their respective replies must be posted openly online;
  - d) A Technical Panel to assess the proposals;
  - e) Proponents must undergo institutional assessment;
  - f) Steps must be taken to ensure that the necessary infrastructure is in place for the selection of proposals by the Technical Panel;
  - g) Announcement of the results.

## **V.1. PROJECT SELECTION PROCESS**

24. Funbio will select projects in accordance with pre-established criteria published in the Call for Project Proposals document. Funbio will assess all received project proposals.
25. Proposals for ineligible projects or from ineligible proponents will not be submitted for technical assessment.
26. The selection process must involve at least one component of technical analysis and one element of processual analysis, e.g., whether the proposal was received in the form and according to the rules specified in the Call.
27. Different levels of analysis may be adopted (technical panels, committees, expert review, etc.) and must be clearly defined in the Call for Project Proposals document.
28. Funbio will not enter into contracts with any proponent, even if they met all Call demands, who:
  - Fails to meet the requirements established in Funbio's Policy for the Prevention and Suppression of Money Laundering and Terrorist Financing (P-33). This policy can be consulted on Funbio's website.
  - Fails to meet the requirements established in Funbio's Institutional Assessment Procedures. Funbio can condition its approval upon certain adjustments identified as necessary during the selection process.
29. Funbio will deploy safeguards against conflicts of interest in project assessment;
30. Funbio will not publicly disclose the names of the experts who will participate in the project assessments so that they will not be constrained in their ability to provide an unbiased view of the projects appreciated.

## **V.2. DIVULGING THE SELECTION RESULTS**

31. All proponents must receive formal communication from Funbio concerning the status of their projects, even when ineligible. This communication must be sent by email to the address provided for this purpose on project submission forms.
32. Should a project require adjustments prior to acceptance, Funbio must communicate this in writing, along with the deadline by which the adjustments are to be made.
33. Having first notified the proponents by email, Funbio will publish the selected projects on its website. This list can still be changed should any of the selected proposals/proponents be found ineligible after publication.

34. Funbio never divulges data on proponents, proposals, technical assessment details, or the scores attributed to them. However, Funbio will supply a proponent's own score upon request.

### **V.3. AWARDING PROJECTS**

35. Funbio cannot enter into contracts with proponent institutions unless all the formal requisites are fulfilled, including the making of technical adjustments and presentation of the certificates requested by Funbio's legal department.

36. Contracts between Funbio and the institutions it supports are legal instruments that signify a relationship of support and financing between the parties. Inclusion on the list of selected projects does not in itself imply any funding commitments on Funbio's part.

### **V.4. PROJECT MONITORING**

37. Projects selected on Calls for Project Proposals will follow Funbio's standard procedures regarding financial and technical monitoring.

38. In the case of Donors who have monitoring procedures different from those practiced by Funbio, it should be negotiated with them, that preferably the most robust standard should be used.

### **V.5. FUNBIO'S INTERNAL OPERATIONS**

39. Funbio will specify the internal procedures pertaining to this policy in a separate document.

## **VI. SANCTIONS**

40. Funbio can apply the sanctions listed below upon any project that fails to comply with the norms established by this policy or by Funbio's Code of Ethics:

- Cessation of project funding;
- Recall of funds already disbursed but not yet used by the project;
- Glossing of all or some of the payments already made by the project;
- Addition of partner(s) to Funbio's project blacklist;
- Legal action to recover any funds already disbursed.