International Union for Conservation of Nature

Regulations

Environmental Research and Advocacy Fund
IUCN Regional Programme for
Central America

Validity as from 3 April 2006.
Revised 30 April 2008
by the Fund Steering Committee

CHAPTER XIV: AUDIT.....

PART ONE

CHAPTER I: GENERAL DISPOSITIONS

Article 1. These regulations are intended to establish directives and regulate operational and administrative procedures of projects financed through the Environmental Researc

CHAPTER II: MAIN OBJECTIVE

Article 7. Main objective. The countries in the Central American region, by means of the research and advocacy work carried out by civil society organisations, have made progress in the construction and implementation of local, national and regional policies, legal frameworks and environmental norms which are articulated in sustainable development policies.

CHAPTER III: SPECIFIC OBJECTIVES

Article 8. The Environmental Research and Advocacy Fund has two specific objectives: 1) CSOs that apply to the fund have improved their basic institutional and organizational capacities; and
2) CSOs that apply to the fund lead research and advocacy processes.

CHAPTER IV: ELIGIBILITY

Article 9. Eligible advocacy and research organizations include:

a. Non-governmental organizations
b. Regional and national networks
c. Sectoral and unionized organizations
d. Organizations and research bodies that meet the definition specified in Article 5
e. Community organizations
f. Local associations and organizations.

Article 10. No organization that has a member of its board of directors on the Evaluation Committee is eligible for funding.

Article 11. Those CSOs applying to the Fund are to demonstrate clearly through documentation, those local, national or regional changes they intend to make in policies, public decision-making processes or legislation through the project to improve the environment and the quality of life of the population.

Article 12. Those CSOs applying to the Fund will be obliged, through the Implementation Agreement to guarantee that all activities carried out with resources from the Fund will respect legislation in the country in which they implement the project; the violation of this disposition could result in the project's suspension.

The Government of Denmark and the International Union for Conservation of Nature (IUCN) hold no responsibility for the conduct of those CSOs selected to carry out projects as part of the Environmental Research and Advocacy Fund. The opinions of these organizations correspond to those of Fund beneficiaries and should, under no circumstances, be interpreted as representing those of IUCN or the Government of Denmark.

UICN

Article 18. IUCN will provide interested parties with all relevant documents and materials for the presentation of projects and their follow-up.

Article 19. The proposal should include the following institutional and project information to enable evaluation:

a. Institutional profile.
b. Previous experience.
c. A description of the project's pertinency, including a policy analysis of the current situation and tendencies as part of the justification.
d. Project relevance in the territory in which it is to be implemented.
e. Technical consistency.
f. Demonstrate a balance between budget and activities.

CHAPTER II: PROJECT ELEGIBILITY

Article 20. Preference will be given to those projects focusing on the following priority issues:

a. Trade and environment
b. Environmental protection
c. Poverty-environment
d. Vulnerability reduction
e. Environmental management
f. Biodiversity conservation
g. Sustainable tourism

The issues will reviewed annualy by the Steering Committee.

CHAPTER III: CALL FOR PR OJECTS AND RECEIPT OF PROPOSALS

Article 21. Interested parties should deliver their proposals accompanied by all documents indicated in these regulations, during the period of the call for proposals, in the format established by IUCN, including the matrix, in the original, printed version in a sealed envelope marked “Environmental Research and Advocacy – IUCN” to the IUCN offices at the following address:

South side of the Porfirio Brenes School
Moravia Centre
San José, Costa Rica.
Telephone: +506 2241-0101
P. O. Box 146-2150

Article 22. All proposals received outside the deadline established in Article 24, or that do not comply with any of the requirements stipulated in these regulations will not be considered.

Article 23. All requested information should also be sent via e-mail to: proyecto.incidencia@iucn.org

Article 24. The date and hour established for the reception of proposals will be the date and time at which these are received at IUCN’s Regional Headquarters in Moravia, Costa Rica. IUCN’s Regional Office for Mesoamerica will send a confirmation of receipt to the address indicated in the submission.

Article 25. The deadline for the presentation of proposals will be indicated on the IUCN Mesoamerica website: www.iucn.org/mesoamerica and published in one of the principal national newspapers.

Article 26. Projects approved by the Evaluation Committee will be made public by IUCN.

CHAPTER IV: PROJECT SELECTION

Article 27. An Evaluation Committee will hold responsibility for selecting and approving the projects that are presented to the Fund and that comply with all the requirements establis

CHAPTER V: REPORTING

Article 29. Once the project has been selected an implementation agreement will be drawn up between the beneficiary organization and IUCN as to include clauses mutually agreed upon by the parties for the disbursement of the resources approved by the Fund.

Article 30. Reports will be presented as stipulated in the signed agreement and according to the payment schedule of approved funds.

Article 31. The proposal's work plan should be structured in such a way allowing for the project to be implemented and finalized – including the presentation of final reports – within the approved time frame.

Article 32. Reports on project progress and the final report should include narrative reflecting progress in the implementation of programmed activities and the achievement of established goals and results, according to the approved logical framework/matrix; and a financial report reflecting budget execution and expenses by activity.

CHAPTER VI: FINANCI NG

Article 33. Two simultaneous projects cannot be funded except in the case of urgent advocacy issues.

Article 34. No organization may benefit from funding for more than two priority issues during a period of five years.

Article 35. The maximum sum available for the funding of individual projects is seventy-five thousand US dollars (US$75,000), in response to proposed activities.

Article 36. The Fund has a flexible budget line available for Urgent Advocacy issues for immediate and specific support. The amount

available for individual projects within this budget line will not exceed ten thousand US dollars (US$10,000).

Article 37. The Fund includes a budget line for institutional support.

Article 38. The maximum duration for project implementation, in reference to Article 31, c

an organization qualifies does not mean that institutional support be approved.

Article 44. Institutional support will be approved only to strengthen:

a. Strategic planning aimed at influencing environmental policy.

b. The generation and management of reliable information aimed at influencing a legislative initiati:hm2g.98 0 68oj 1n4 c.00079 Tc 0.00031 Tw 1

CHAPTER VIII: URGENT ADVOCACY

Article 47. Urgent Advocacy is a budget line of the Environmental Research and Advocacy Fund used to address unexpected research and advocacy issues.

Article 48. Only activities that do not exceed ten thousand US dollars (US$10,000) can be financed.

Article 49. No urgent activities that are contemplated in, or that complement an advocacy project financed by the Fund will be considered as urgent.

Article 50.In order to be considered as an urgent activity, it should meet one of the following criteria:

a. To be faced with an executive agreement or governmental decision with a high environmental or social impact.
b. To be faced with a municipal decree with a high environmental or social impact.
c. An agreement has been made with some public authority to carry out an urgent, legally acceptable process with a positive environmental impact.
d. To be faced with an attempt by the government to pass a law, with important environmental implications, in a precipitated manner.

Article 51. Urgent requests should be presented to the Fund coordinator for review and the preparation of a rapid report to be submitted via e-mail or fax to all members of the Steering Committee, informing them of the urgency.

Article 52. Once the report has been submitted by the Fund coordinator, Steering Committee members will give a positive or negative vote on the proposal with a period of 72 hours; only those projects with at least three affirmative votes will be approved.

Article 53. Beneficiary organizations of the Fund’s Urgent

Article 62. Applicants for the award should provide documentation explaining the advocacy processes that qualify them for the prize; clearly indicating the results obtained (norms, policies or legal frameworks), certifying the date of these and their legal validity.

Article 63. The following criteria are to be considered in the selection of the winners:

a. Environmental impact of the result
b. Social impact of the result
c. Legal hierarchy
d. Level of social participation
e. Permanence of results

Article 64. Selection of the winners will be the responsibility of qualifying jury to be appointed by the Steering Committee.

Article 65. The jury will be made up of three members and their decisions will be reached by majority.

Article 66. Members of the jury can have no relation through ownership or affinity with any contestant.

PART THREE: ADMINISTRATIVE PR0 13.98 woSS EMC /P <</MCID 1

Article 73. In the case of approved Urgent Advocacy projects, the first payment will be for 80% of the app

e. assignment of funds, on the basis of a clear justification on the part of the beneficiary CSO.

CHAPTER IV: BANK ACCOUNT

Article 77. The beneficiary CSO will use a bank account exclusively for project operations. This account should be duly identified with a project number assigned by IUCN.

Article 78. The bank account must be open for receipt of the first transfer of funds, and should the account generate interest, these are to be returned to IUCN, as Fund administrator, on presentation of the final report. Income generated through interest is to be reported in the corresponding financial reports.

Article 79. Beneficiary CSOs will emit receipts to ensure control of disbursements charged against the contribution of the Fund. Receipts are to comply with legal requirements of the country in which the project is implemented.

Article 80. Current accounts should have at least three registered signatures, and cheques emitted are to be jointly signed with at least two signatures. This is an essential requirement for the transfer of funds.

Article 81. Bank accounts are to be reconciled on a monthly basis and included in progress reports.

Article 82. On closure of the project the beneficiary CSO is to provide bank documentation indicating that the account has been reconciled and closed.

CHAPTER V: ACCOUNTING MANAGEMENT AND PROCEDURES

Article 83. Contributions from the Fund are to be reflected in the monthly accounts of the beneficiary CSO, and for which all charges against the Fund are to be supported by documents that meet standard accounting norms.

Article 84. Compliance with the fiscal and legal requirements corresponding to use of the contribution from the Fund will be the sole responsibility of the beneficiary CSO.

Article 85. Supporting documents for the accounts and bank documents of the beneficiary CSO are to be available at all times and should be safeguarded for a minimum of six years after project conclusion.

CHAPTER VI: FINANCIAL AND NARRATIVE REPORTS

Article 86. All beneficiary organizations should ensure all expenses are backed by legally valid documentation. IUCN, as Fund administrator, could demand the presentation of invoices, receipts, contracts, terms of reference or any other document it deems necessary at any time. This requirement will be communicated to the organization with five days notice.

Article 87. On the progress report: the beneficiary CSO will present progress reports based on a format provided by the Fund coordinator. These are to include a narrative section, a financial section, and necessary annexes, and be presented according to the timeframe established in the agreement and that stipulated in Articles 72 and 75. The approval of progress reports will be required prior to transfer of the agreed sums. In the case of projects with a duration of less than four months, reporting requirements will be stipulated in the agreement.

SECTION I: FINANCIAL REPORTS

Article 88. On the financial report: Those organizations that have not been notified by IUCN need only present:

a. The completed financial report form accompanied by photocopies of bank statements indicating charges to each budget line.
b. The completed forms are to be signed by the organization's accountant.
e. The beneficiary CSO's accountant must emit and send a document to the Fund administrator at IUCN, accompanied by a photocopy of the corresponding bank deposit, confirming receipt of funds.

SECTION II: NARRATIVE REPORTS

Article 89. Narrative reports will be presented in the format required by the Fund and correspond to the approved project.

Article 90. These are to be presented during the first fifteen calendar days of the month established in the reporting schedule. Should materials have been produced, copies of these are to be annexed.

Article 91. Reports of training activities should include participants' lists and copies of materials produced.

CHAPTER VII: SITE VISITS

Article 92. Depending on project duration, the Fund administrator will carry out monitoring visits to verify project progress, determine any limitations and obstacles encountered, and agree on means to ensure results are obtained.

Article 93. During the monitoring process technical, administrative and financial verifications will be carried out; directors and staff of the beneficiary CSO are to provide any assistance that might be required,

having financial and technical documentation to hand for IUCN evaluators.

CHAPTER VIII: BUDGET MODIFICATIONS

Article 94. Should budgetary modifications be required during project implementation, budget lines may be modified by up to 10%, and changes will be reported in the following financial report. Should the total amount approved for the project be exceeded, the organization must assume the difference.

CHAPTER IX: ACQUIREMENT OF GOODS AND SERVICES

Article 95. The policies and guidelines established by IUCN on the acquirement of goods and services shall be applied. The amount paid for professional services shall not exceed US$2,500 per month.

CHAPTER X: TRAVEL AND TRAVEL ALLOWANCES

Article 96. Travel allowances for international travel defined in the budget of each project should be aligned, at the maximum, with the table applied by IUCN; and in the case of national travel, these should be in line with the national standard for civil servants. All air travel charged to a project financed by the Fund, shall be in economy class.

CHAPTER XI: SALARIES, FEES AND OTHER STAFF PAYMENTS

Article 97. The legal representative and the accountant of the beneficiary CSO are responsible for compliance with national legislation regarding social security, safety at work, and contractual requirements.

CHAPTER XII: COUNTERPART CONTRIBUTIONS

Article 98. Counterpart and other contributions should have sufficient evidence for them to be considered as such. Likewise, beneficiary CSOs should have a mechanism in place whereby non-accountable contributions (labour, meetings, etc.) can be quantified and presented in the corresponding financial reports.

CHAPTER XIII: PROJECT CANCELLATION OR REDUCTION OF CONTRIBUTION

Article 99. The Fund's contribution to the project could be suspended or cancelled should the beneficiary CSO not use it exclusively for the purposes agreed upon in the operational budget. In such a case the financial resources available, those used for other ends, and assets acquired are to be reimbursed immediately.

Article 100. The Fund's contribution could be reduced if:

a. real costs are less than approved budget amounts;
b. another funding source, different from the Fund, assumes budgeted costs, as a result of other agreements;
c. despite having made project adjustments as a result of risk management, changes in the situation and the context, the results are not those that were foreseen.
d. In any of these cases unused funds are to be returned by the beneficiary CSO.

CHAPTER XIV: AUDIT

Article 101. The beneficiary CSO is to authorize IUCN, through the implementation agreement, to carry out audits on the use and management of funds provided during or after project implementation. The costs of these audits are to be covered by the individual organization that should also facilitate the process and ensure it be carried out in an agile manner.

Article 102. Those organizations that carry out an internal or external audit of the contribution received from the Fund, should make the results available to IUCN.

CHAPTER XV: PUBLIC ACKNOWLEDGEMENT

Article 103. Only the beneficiary CSO can use the IUCN logo and distinguishing labels or those of inst

CHAPTER XVII: SUPPORT AND ADVICE IN ADMINISTRATION OF FUNDS

Article 106. IUCN will, to the best of its ability, provide advice and accompany all beneficiary CSOs in the administration of funds and the presentation of reports.

PART FOUR: EVALUATION COMMITTEE

CHAPTER I: GENERAL DISPOSITIONS

Article 107. The Evaluation Committee will be responsible for deciding on the civil society applications to the Fund.

Article 108. Membership of the Evaluation Committee will be for a maximum period of two years.

Article 109. The Evaluation Committee is the Fund's formal joint decision-making body comprising those entities identified in Article 28.

CHAPTER II: MANDATE AND SCOPE OF ACTION

Article 110. The Evaluation Committee's mandate includes the analysis of and decisions on the viability of project proposals presented by CSOs to the Fund.

CHAPTER III: DE LAS AUSENCIAS

Article 111. Each of the entities to be represented on the Evaluation Committee will nominate a representative. The Steering Committee will decide upon the replacement of those representatives with more than two unjustified absences from consecutive meetings.

CHAPTER IV: OPERATION AND TASKS

Article 112. The Evaluation Committee will hold two ordinary sessions a year. During these sessions proposals submitted for review will be analyzed and decisions taken as to whether or not they are approved.

Article 121. Minutes will be taken at each session of the Evaluation Committee, and these are to be signed by participants.

Article 122. All decisions taken by the Evaluation Committee are final, irrevocable, un-appealable and without further recourse.

Article 123. The Evaluation Committee cannot exempt organizations from one or more requirements for project approval.

Article 124. Members of the Evaluation Committee must be of the highest moral standing and good behaviour. In addition to which they must be free from any administrative, civil or penal records relating to domestic violence, embezzlement, child abuse, paedophilia, terrorism or acts against democracy, state institutionalitz27if4.1Dliitz22D5p898 pu185

a civil societz2organization for embezzlement, or have broken the laws pertaining to unlawful enrichment27if4.721 pti on.

Article 125. Article 122 will apply to members of the Council, leg2tr representatives27if4members of

PART FIVE: COMBATTI