

# Inception Workshop Report for the GEF-funded Project: Tools4LDN

Strengthening Land Degradation Neutrality data and decision-making through free and open access platforms

Dates: 30-31 October 2019

Venue: [Arizona State University Washington Center](#):  
1800 I St NW, Washington, DC 20006, Room 211



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## Abbreviations

CBP – Carbon Benefits Project

CDE – Centre for Development and Environment (Bern University)

CI – Conservation International

CU – University of Colorado

ESA – European Space Agency

ESMF – CI-GEF Project Agency's Environmental and Social Management Framework

GEF – Global Environment Facility

JRC – Joint Research Centre of the European Commission

LandPKS – Land Potential Knowledge System

LDN – Land Degradation Neutrality

MCS – Moore Center for Science (division at CI)

NASA – National Aeronautics and Space Administration

NDVI – Normalized Difference Vegetation Index

NMSU – New Mexico State University

SLM – Sustainable Land Management

STAP – Science and Technology Advisory Panel of the Global Environment Facility

Tools4LDN – Tools for Land Degradation Neutrality

UCGHI – University of California Global Health Institute

UCSB – University of California Santa Barbara

UN – United Nations

UNCCD – United Nations Convention to Combat Desertification

UNCW – University of North Carolina Wilmington

USDA – United States Department of Agriculture

WOCAT – World Overview of Conservation Approach Technologies

## Introduction

Land degradation – the reduction or loss of the productive potential of land – is a global challenge. Over 20% of the Earth’s vegetated surface is estimated to be degraded, affecting over 1.3 billion people<sup>1</sup>, with an economic impact of up to US\$10.6 trillion<sup>2</sup>. Land degradation reduces agricultural productivity and increases the vulnerability of those areas already at risk of impacts from climate variability and change. Addressing land degradation, Sustainable Development Goal (SDG) target 15.3 and a key component of the 2030 Agenda for Sustainable Development, is essential to improve the livelihoods of those most affected, and to build resilience to safeguard against the most extreme effects of climate change.

To support Parties in addressing this challenge, the 13<sup>th</sup> Conference of the Parties (COP.13) of the United Nations Convention to Combat Desertification (UNCCD) adopted the Strategic Framework for 2018-2030 (Decision 7/COP.13). The Strategic Framework acknowledges the global challenges of desertification/land degradation and drought (DLDD), and their contribution to “economic, social, and environmental problems” that “pose serious challenges to sustainable development” and notes that Parties aim to: “develop, implement, revise and regularly monitor, as appropriate, national, sub-regional and regional action programmes and/or plans as effective tools for UNCCD implementation” and achievement of land degradation neutrality (LDN).

Land Degradation Neutrality (LDN) was identified in Decision 3/COP.12 as a key objective of the convention and one that, if achieved, would be a major contributor to the realization of the broader sustainable development agenda. Decision 3/COP.12 defined LDN as “a state whereby the amount and quality of land resources necessary to support ecosystem functions and services and enhance food security remain stable or increase”, and invited parties to establish national LDN targets. Further, the COP.12 invited Parties to adopt monitoring and evaluation approaches linked to these targets and requested the UNCCD secretariat to support these efforts through continued development of indicators for monitoring progress towards national targets.

Consistent with these goals, the UNCCD secretariat has worked closely with partner organizations and with the Inter-agency and Expert Group on SDG Indicators (IAEG-SDGs) to finalize the metadata for the SDG indicator 15.3.1, to develop good practice guidance on its measurement, and to provide default global datasets to support Parties in reporting to the Convention.

**Project Objective:** To provide improved methods for assessing land degradation and understanding the socio-economic conditions of vulnerable communities in affected areas through the integration of free and open platforms to support country level reporting to the UNCCD

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<sup>1</sup> United Nations Convention to Combat Desertification. 2017. The Global Land Outlook, first edition. Bonn, Germany.

<sup>2</sup> Le, Q. B., A Mirzabaev, E. Nkonya, and G. W. J. van Lynden. “The Extent and Cost of Land Degradation.” In Land Degradation and the Sustainable Development Goals: Threats and Potential Remedies. CIAT Publication No. 440. Nairobi, Kenya, 2017.

## Event Summary

The GEF-funded “Strengthening Land Degradation Neutrality data and decision-making through free and open access platforms” henceforth known as Tools4LDN Project held its Inception Workshop to validate the work plan and

Dates: 30-31 October 2019

Venue: [Arizona State University Washington Center:](#)

1800 I St NW, Washington, DC 20006, Room 211

### Participants:

October 30, 2019	October 31, 2019
<b>In person participation</b>	
Free de Koning	Free de Koning
Hanspeter Liniger	Hanspeter Liniger
Meghan Mize	Meghan Mize
Narcisa Pricope	Narcisa Pricope
Mariano Gonzalez-Roglich	Mariano Gonzalez-Roglich
Monica Noon	Monica Noon
Alex Zvoleff	Alex Zvoleff
Gabriel Daldegan	Gabriel Daldegan
Vlasova Gonzalez	
Michael Mascia	
Ian Kissoon	
Shannon Weicks	
<b>Remote participation:</b>	
David Lopez-Carr	David Lopez-Carr
Jeff Herrick	Jeff Herrick
Oscar Beltran	Oscar Beltran
Kevin Mwenda	Kevin Mwenda
Tatenda Lemann	Tatenda Lemann
	Orissa Samaroo
	Maria Angelica Fernandez

## Objectives

Official project kick-off activity. During these two days we'll review project objectives and proposed activities, identifying roles and responsibilities of project partners. Specific items to be covered include:

- Conservation International: Present project overview and proposed project workplan.
- University of Colorado, University of Bern, and University of Colorado: Present brief background of work relevant to the project and vision for specific project components they are part of.
- CI-GEF Agency: Review stakeholder engagement, gender mainstreaming plans and grievance mechanisms requirements from the GEF
- CI Grants Units: Compliance with grants and contracts
- All: Review and approval of the project work plan
- All: Discussion on the roles of the Project Executive Team, Project Steering Committee, and Project Scientific and Technical Advisory Panel.

## Workshop Program

Day 1: 30 October 2019

### ARRIVAL

8:30 a.m. – 9:00 a.m.

Breakfast

### WELCOME REMARKS

9:00 a.m. – 9:15 a.m.

Mariano Gonzalez-Roglich, CI-MCS  
Michael Mascia, Senior Vice President, Moore Center for  
Science Executive  
Free de Koning, CI-GEF

### INTRODUCTION TO THE PROJECT

9:15 a.m. – 9:30 a.m.

Introduction of workshop participants

9:30 a.m. – 9:45 a.m.

Review of workshop objective and expected results (Mariano  
Gonzalez-Roglich, CI-MCS)

9:45 a.m. – 9:55 a.m.

Overview of WOCAT (Hanspeter Liniger, WOCAT/University of  
Bern)

9:55 a.m. – 10:05 a.m.

Overview of LandPKS (Meghan Mize, LandPKS/CU)

10:05 a.m. – 10:15 a.m.

Overview of expertise from UCSB team (David Lopez-Carr,  
UCSB)

10:15 a.m. – 10:30 a.m.

Overview of Trends.Earth (Alex Zvoleff, CI-MCS)

### BREAK

10:30 a.m. – 10:45 a.m.

COFFEE + TEA

### GEF OVERVIEW AND REQUIREMENTS

10:45 a.m. – 11:00 a.m.

Introduction to CI GEF Project Agency and GEF global projects  
(Free de Koning, CI-GEF)

11:00 p.m. – 11:30 p.m.

Overview of GEF Requirements (Free de Koning, CI-GEF)

11:30 a.m. – 12:30 p.m.

CI-GEF Granting and Financial Procedures (Shannon Wiecks, CI-  
GEF)

### BREAK

12:30 p.m. – 1:30 p.m.

LUNCH

### COMPLIANCE

1:30 p.m. – 2:00 p.m.

Overview of Safeguard Policy, including Stakeholder  
Engagement Plan and Grievance Mechanisms (Ian Kisson, CI-  
GEF)

2:00 p.m. – 3:00 p.m.

Gender Mainstreaming Plan (Ian Kisson, CI-GEF)

### BREAK

3:00 p.m. – 3:15 p.m.

COFFEE + TEA

### OPERATIONS

3:15 p.m. – 3:45 p.m.

Overview of Co-Financing Arrangements (Vlasova Gonzalez, CI-  
MCS and Ahmad Naser Dadgar, CI-Grants and Contracts Unit)  
Grievances and Website (Monica Noon, CI-MCS)

3:45 p.m. – 4:30 p.m.

### CLOSING

4:30 p.m. – 5:00 p.m.

Project Governance (Mariano Gonzalez-Roglich, CI-MCS)

**DINNER @ 6.30 p.m.**

[FARMERS & DISTILLERS](#) 600 MASSACHUSETTS AVE NW,

WASHINGTON DC 20001



Day 2: 31 October 2019

**ARRIVAL**

8:30 a.m. – 9:00 a.m.

BREAKFAST

**PROJECT GOVERNANCE + WORK PLAN OVERVIEW + COMPONENT 1**

9:00 a.m. – 9:15 a.m.

Summary from day 1 + follow ups

9:15 a.m. – 9:30 a.m.

Project Governance and Work Plan Overview (Mariano Gonzalez-Roglich, CI-MCS)

9:30 a.m. – 10:15 a.m.

Component 1: Improvement of land degradation biophysical indicators to support monitoring towards land degradation neutrality (Mariano Gonzalez-Roglich, CI-MCS)

**BREAK**

10:15 a.m. – 10:30 a.m.

COFFEE + TEA

**WORK PLAN COMPONENT 2 + 3**

10:30 a.m. – 11:00 a.m.

Component 2 - Understanding the socio-environmental interactions between drought, land degradation, and poverty to support development of monitoring frameworks for UNCCD strategic objectives 2 and 3. (Mariano Gonzalez-Roglich, CI-MCS and Narcisa Priscope, UNCW)

11:00 a.m. – 12:00 p.m.

Component 3 - Support planning and monitoring of land degradation neutrality (LDN) priorities from field to national scales. (Mariano Gonzalez-Roglich, CI-MCS; Meghan Mize, CU; Hanspeter Liniger, WOCAT)

**BREAK**

12:15 p.m. – 1:00 p.m.

LUNCH

**WORK PLAN COMPONENT 4 + GRIEVANCES**

1:00 p.m. – 3:00 p.m.

Component 4. Support the UNCCD and its signatory countries by building capacity on planning, monitoring, and reporting of LDN (All Partners)

**BREAK**

3:00 p.m. – 3:15 p.m.

COFFEE + TEA

## Meeting Minutes

### Welcome Remarks

Dr. Mariano Gonzalez-Roglich launched the workshop by reviewing how we formulated the plan to develop this project over a year ago.

Dr. Mike Mascia gave an introduction from our science work at CI and expressed that we see science as our strategy as a way to align our work. He introduced CI's Southern Star Nature for Climate, Sustainable Landscapes and Seascapes, Innovation in Science and Finance, Ocean Conservation at Scale. So far, we've identified 3 key questions as a team – priorities – where is the nature that people need? How can we best conserve nature for people? What are the impacts of conserving nature? Throughout our work, we develop incremental work within our Science division, we need partners within this effort, critical to leveraging our capacity to bring change within the world.

Dr. Free de Koning introduced the GEF and how CI works as an Implementing Agency. He provided introductions to all participants and the expectations and outcomes of the project.

### Introduction to the Project

#### WOCAT SLM

Dr. Hanspeter Liniger introduced World Overview of Conservation Approach Technologies (WOCAT) from the University of Bern's Centre for Development and Environment (CDE). It is a platform for enriching and using evidence base for Land Degradation Neutrality (LDN). He gave an overview of what other products have been integrated with WOCAT, including Trends.Earth and the Carbon Benefit Project (CBP). They have used outputs of Trends.Earth to ground truth in the field and look forward to further harmonizing different tools in the future.

#### Land PKS

Ms. Meghan Mize introduced LandPKS, a collaboration based across U.S. Department of Agriculture (USDA), New Mexico State University (NMSU) and University of Colorado (CU). There are 4 modules that define the uses of LandPKS, Land Info, Land Management, Soil Health and Land Cover. It enables users to discover the potential and value of their land, plan and track management actions, and monitor change for the area. LandPKS has been used in many countries, globally and is translated into English, Spanish, French and Swahili.

#### *LandPKS Discussion*

Hanspeter Liniger asked if we can classify some of this work, also adding vegetation health/soil health or invasive species into the data we are collecting. How can we link management practices with what we are collecting in the field? The impact would be realized by strongly linking these resources to each other. What is unsustainable land management? How do we monitor this?

We do not collect bad land management practices in the field. The database would be greatly improved with the collection of all practices.

Mie Mascia asked if governance and management of the land data are collected, as ownership regime eventually influences how these practices are implemented on the ground. That way we could get an idea of high-level governance and find a way to assess these on another level.

Hanspeter Liniger: Yes, we have these questions in the SLM database

Jeff Herrick: Normative vs. objective functions – LandPKS is trying to deliver the core set of functions that you need: soil, climate and management being integrated, working with WOCAT. More optimistic on that side. Response functions – land cover to get at the invasive species, will be adding to that in the future. LandPotential App – trying to avoid more subjective evaluations in it. That could cause conflict. Including things like land tenure. There are more privacy issues there. Collectively, how to best collect and deliver information that maximizes our ability to maintain privacy of data. Also, the value of the data. There are opportunities, but also tradeoffs. We can collect additional pieces of information that we may not want lumped into either of these tools/databases.

UCSB, Brown University and University of North Carolina – Wilmington Expertise

Dr. David Lopez-Carr expressed excitement about the team and collaboration that he is leading. He is supporting all components, leading component 2, socio-environment components for strategic objectives 2 and 3. Wanted to take a step back to frame these as these are heavy things that we are tackling. First, he introduced his team, which is a collaboration among several universities. The UCSB collaboration includes:

- 1) Dr. Narcisa Pricope, Associate Professor of Geography UNC Wilmington has been working on LDN in southern/SW Africa since 2006. Did a post-doc with David in the past working on similar things.
- 2) Dr. Kevin Mwenda is an Associate Professor at Brown University, focuses on population studies. Working on disease and childhood nutrition. Interested in seeing what role humans play in LDN.
- 3) Dr. David Lopez-Carr is the co-director of the UCGHI Planetary Health Center of Expertise at UCSB. This was launched about 10 years ago, includes 10 UC campuses, two centers of expertise, women's health and gender, and planetary health. Throughout this collaboration we are connected with expertise across the 10 UC campuses, we can benefit from this during this project.

Other resources accessible from the UC collaboration are the Broom Center for Demography which focuses on environment population health dynamics and the Climate Hazards Center, which is a large partner producing FewsNet, CHIRPS, and other datasets to understand climate change, and modeling drought and food insecurity. Together, they have demonstrated several papers on work of this collaborative group. The Climate Hazards Center team is already 100% on their own projects but have committed to collaborating closely on this project. They will be advising us on dataset to use throughout this project and look forward to working with all of us.

Overview of Trends.Earth

Dr. Alex Zvoleff gave an overview of the development of Trends.Earth, the GEF-funded and CI, Lund University and NASA partnered on this project. During the last phase of the project, the team members were trying to track developments on monitoring for LDN, which manifested in the development of a tool now known as Trends.Earth. The process to derive an indicator for 15.3.1 to track the sub-indicators: land productivity, land cover and carbon stock to assess the final indicator 15.3.1 – area of land degraded over total land area. The tool was developed for folks who do not have a background in remote sensing, anyone can run an analysis to get spatial and tabular outputs for this indicator. Looking

at three sub-indicators to productivity trajectory, performance and state. You can use the tool with default settings, but there are also options to customize these methods for your area of interest.

We have developed other indicators with another team at NASA on SDG 11.3.1 around sustainable cities, we also look at potential impacts of restoration. We have a huge range of users from countries, 19 countries that make up 50% of the users and users from over 140 countries.

Many countries for assessing global scale, productivity on carbon and land cover for the final indicator. The final indicator has spatial and tabular outputs. Types of land cover. What are the drivers. Also highlighted several partners. We are currently collaborating with the GEO group on earth observation LDN initiative is a framework that has been supported by UNCCD as an outlet for our work. We will be hearing more as work on this space.

#### *Trends.Earth Discussion*

Hanspeter Liniger: If we give a table output to the public, it must be right! There are major risks with these tables, because they do not exclude climate. What is the accuracy? What does it mean? Have seen the productivity increasing and people are depleting the water table. People also want to check their investments. From the national to the UNCCD, if there is a disconnect, then we are not doing a good job.

Alex Zvoleff: We have always battled with the question - How do we provide plenty of information while making the connection that it is interpreted correctly?

Mike Mascia: Need to clearly define by acknowledging what the tool can and cannot do.

Mariano Gonzalez-Roglich: The table was the end of our process, so we added it for reporting, but once we put the summarized table outputs, no one was looking at the detailed breakdown. How do we keep it robust, scientifically solid yet simple enough to be useful?

Alex Zvoleff: It is not required that countries use this tool for reporting to UNCCD, it is an option. We trained them how to analyze the datasets and how to supplement with custom data inputs, where possible. Reporting on the SDG indicator, UNCCD has its own objectives. Finance, changes in carbon stock and land cover, etc. It is bit more detailed and offer more information for the breakdown of these processes.

Hanspeter Liniger: At a country level, they need to understand what it means, what does green and red really mean at the national to local level. There needs to be a clear connection at the local level.

#### *Outcomes*

- 1) Need to make a branding plan on how the project is represented by its partners and their collaborators.
- 2) Need to define which information should be inputs or outputs to existing tools for harmonization.

#### *GEF Overview and Requirements*

Dr. Free de Koning presented an overview of the GEF overview and requirements noting that the GEF comes from public funding, which means that transparency is essential in reporting on project deliverables. The GEF has 183 member countries, operating on four-year funding cycles. We are currently at GEF-7 which started on 1 July 2018. The basic objective of the GEF is to support countries to

achieve environmental objectives. Most of their work focuses on UNCCD, UNFCCC, CBD. There are 15 countries contributing 95% to the current cycles, with Japan, Germany in the lead.

The GEF has specific focal area strategies and impact programs including biodiversity, climate change mitigation, land degradation, international waters and chemical and waste. There had been a change, no longer adaptation under the GEF, with the GCF taking the other climate change components.

The newly created impact program allows countries to get 50% extra, if a country participate in any of these programs, and puts in something extra. The impact programs include:

- Food, Land Use and Restoration
- Sustainable cities
- Sustainable forest management

The resource allocation for focal areas biodiversity, climate change, land degradation includes:

- STAR country allocation – over half goes to the countries for example to use for land degradation project
- STAR set aside – enabling activities, integrated programming and global/regional programs
- Enabling activities – this is a GEF enabling activity

The GEF Assembly takes place every 4 years, the latest was in 2018 in Vietnam. GEF Council is a participant of donating and participating countries, the GEF decides on the new projects that will be approved. This is for projects over \$2million. If there are comments, they communicate that to the council. The day to day is managed by the GEF Secretariat who must technically clear these projects. There is a good list of projects listed for the Council. The GEF agencies (e.g. CI-GEF) who delegate the oversight for projects, to make sure the policies and procedures are followed, and the results are achieved. The implementation agencies are the ones leading the work. They work with the executing agencies to design, implement and execute suitable GEF projects and programs.

The role and responsibilities of implementing agency, makes the funds available so that we are accountable to the donor. These are the M&E of the project, in this case, it is CI-GEF. The executing agencies – e.g. CI-MCS is the executing agency for this project.

There are 18 GEF Agencies/implementing agencies. Many multi-laterals, UN agencies, National entities and international NGOs. CI GEF Agency is one of the younger agencies. It was accredited in 2013, as CI has a strong link with nature, science and human well-being and works on the ground. Many projects conceived at the project level now, 31 projects in 45 countries >\$100M, with \$315M co-financing ratio.

CI-GEF Funding Distribution over focal areas. CI has many policies and procedures that comply with that funding requirements of the GEF. This project is straightforward, but we have some safeguards that we will hear more about later. We can provide with templates that will help with the implementation of the project. For example, the project development concluded in under a year. This is fast for GEF projects.

#### CI-GEF Discussion

Hanspeter Liniger: How do we get the co-financing together?

Free de Koning: This is reported in the PIR – Annual Project Implementation Report.

## CI GEF Granting and Financial Procedures

Ms. Shannon Wiecks gave an overview on finance of the project, as we want to plan for success. The planning organizing and form, grant basics e.g. the project time frame last from September 5<sup>th</sup>, 2019 – May 31<sup>st</sup>, 2022, with 6-month period at the end for reporting and administrative closure of the project. CI-GEF receives some of the overall funding for the terminal evaluation, but it will be reinvested in the project if not all funding is used.

Some additional components of the reporting include:

- Financial reporting template, it is automated from BusinessWorld system.
- Procurement and Grants Plan is also updated on an annual basis
- Publications are tracked throughout the grant process
- Equipment will be listed throughout the process
- Cash Flow projection are listed for next 4 months and following 9months

When projecting cash flow, it is recommended using actual budgeted projections rather than taking the budget and divide by the overall time period for the project component.

The project documentation states that the agency reserves the right to conduct audits of financial transactions of costs occurred during the project, ensuring that financial practices comply with audit requirements prescribed by CI. This could be done under a site visits or desk review. All grants and financing must comply with US laws, under express consent from the CI. If there are any payment to governments, they must fall in compliance with CI's policies.

Intellectual Property states that products developed from the financing of a GEF project must be made available publicly. The grantee still maintains their ownership of tools or other items produced outside of this funding. All publication and logo Use will be decided on with all partners since we will require multiple logos to represent multiple partner organizations.

The criteria of procurement are highlighted on the slides. There is a tiered process for procurement as defined by different value amounts.

- Tier 1 (US < \$2,000): Very small purchases: No analysis or research needed.
- Tier 2 (US \$2,000 to \$4,999): Research multiple vendors and document research.
- Tier 3 (US \$5,000 to \$14,999): Document at least three price quotes as a result of phone or internet research. Maintain documentation of this research (memo for any research over the phone; printouts for Internet search). You must obtain written CI-GEF Prior Approval before Purchasing.
- Tier 4 (US \$15,000 to \$99,999): Solicit at least three written quotes (RFQ) to be submitted in response to a detailed TOR or product specification document. You must obtain written CI-GEF Prior Approval before Purchasing.
- Tier 5 (US \$100,000 to \$250,000): Write and publish a Request for Proposals and receive a minimum of three proposal packages that must include detailed pricing and narrative explanation. You must obtain written CI-GEF Prior Approval before Purchasing.

- Tier 6 (greater than \$250,000). Write and publish a Request for Proposals and receive a minimum of three proposal packages that must include detailed pricing and narrative explanation. **It must be open Internationally.** You must obtain written CI-GEF Prior Approval before Purchasing.

Sole Sourcing is not allowed but based on different tiers. There are some screening protocols for procurement to ensure that no one is showing up on a blacklist. Links to these supporting documents will be shared with the partners.

#### Ethics and Integrity

Part of the grant agreement that was signed and flowed down are identified in the slides

Walked through prohibited practices

#### Grants and Finance Discussion

Mariano Gonzalez-Roglich: Given previous experience, we needed to ask for an additional 6 months for administrative wrap up.

Shannon Wiecks: Everyone must keep timesheets, for salaries, must record timesheets in ¼ hour increments. Another way to do the timesheet is on the phone so that it is up to date as possible. Charging exact time to activity.

David Lopez-Carr: On timing of the funding and work plan components, some of the partners are academics on a 9-month schedule. They are receiving compensation through summer salary. Receive quarterly reports from the Moore Center for Science. They will be reporting to Vlasova on the spending from each team, then we can discuss what works best for the organization.

Shannon Wiecks: If higher than 10% variation inside a component, or higher than 10% of the grant total can vary. Changing budget in between component must be confirmed with the Project Manager and Grants Director for non-compliance. For our partners, this means that within their project budget, they can change within their budget, but should check with their internal budgeting process.

Vlasova Gonzalez: Will talk more about that in a later session

Shannon Wiecks: Co-Financing Shannon will go over on an annual basis, backed with supporting documentation on co-financing.

What to put to co-financing letter as supporting documentation?

#### Overview of Environmental and Social Safeguards

Mr. Ian Kisson presented the overview of certain interventions that may cause negative consequences on the environment, others may have negative impacts on communities. He provided the level of risks to the environment, social activities. He gave an overview on the mechanisms in place by the GEF to report grievances and ensure gender and stakeholder involvement is fair and equitable.

The complaints will be addressed by the Project Manager, then CI Ethics/Director of Compliance and finally the GEF if not resolvable through other channels. It is against CI's policy to displace people, but in the case of resettlement, the project will ensure adequate resettlement compensation. There are

standards to protect Indigenous Peoples and Cultural Heritage, Resource Efficiency and Pollution Prevention, Health and Safety. The Stakeholder, Grievance and Gender Plans are relevant to our project.

### Gender Mainstreaming Plan

Mr. Ian Kissoon tested the participants knowledge of gender, equity and equality terms. The Gender Mainstreaming Plan is in place to ensure equal opportunities for women and men. All plans must be published on the project website. These plans are in place to reduce the barriers to getting more people involved – responsibilities, technology/knowledge, finance, transportation, consider transportation, care, publicizing meetings in different for, hold meetings at different times, separate meetings for groups who do not interact.

### Overview of Co-Financing Arrangements

Ms. Vlasova Gonzalez and Mr. Ahmad Dadgar provided an overview on finance arrangements for sub-grantees. Each partner is responsible for reporting on a quarterly basis and sending financial and project progress information for reporting. This includes notifying CI of any change in staff, need for budget revisions, etc. The use of funds and payment terms were covered by Ahmad. Finally, the travel budget, project related and within 10% of overall budget, can use this funding for travel.

### Grievances and Website

Ms. Monica Noon gave an overview of the Grievance Mechanism Plan for the project. The Project website will house the Grievance Mechanism for the Project. It will be shared with any stakeholders at each training program to accept Grievances. The domain for the project website will be purchased by CI with Tools4LDN in the domain name. The website will have a blog to share frequent updates on the Project.

A project document sharing website will store documents relevant to the project on CI's Sharepoint site. Participants suggested that the design of the sharing platform is kept simple, share with all projects, ensure that all project partners are linked and properly trained to use the site. The Project Manager will develop a short PowerPoint user guide on how to use all tools in Sharepoint.

### Project Governance

Dr. Gonzalez-Roglich provided an overview of the governing bodies of the project. The participants need to identify the persons involved in various governing bodies:

- Project Executive Team  
Meeting monthly online, Monica will organize
- Project Steering Committee (oversight, high-level guidance)  
Representatives from the partners + UNCCD, GEO LDN Initiative, pilot country focal point, one member of UN Environment
- Project STAP

### Day 2 – October 31, 2019

Ms. Noon provided a recap from the first day of the Inception Workshop and noted the remaining items for the Day 2 agenda.

Dr. Mariano Gonzalez-Roglich presented on the different governance bodies again, comparing to previous projects and facilitated a discussion on the vision for project governance.



#### Project Governance Discussion:

Dr. Herrick stated that the selection of the person representing pilot country should be someone who can think globally outside of the decisions pertinent only to the pilot country.

Free de Koning added that these representatives could also sit on the committee, but do not have a vote in decision making.

Maria Angelica Fernandez from the Colombian government from the Institute of Environment and the Focal Point of the country and the Environmental Ministry of the Government joined the meeting.

First, the participants must decide what decisions each group will make in order to determine the best representatives for each group.

Dr. Liniger suggested that we add two more regions, one representative for Africa and one for Asia as Colombia will be representing Latin America and the pilot country.

Dr Herrick states that given the size of the project, it would be helpful to have this input, but it feels like it will get too heavy with administrative overhead.

Dr. Gonzalez-Roglich stated that the Executive team 2/months; Steering 6/months; STAP 6/months

Dr Zvoleff stated that the STAP comments only on the project reports that are relevant to technical reports.

Dr Herrick suggested that we call on specific reports matched with specific sets of expertise

Free de Koning suggested that we get the panel sorted out formally, but then have its functioning be flexible.

Dr Zvoleff suggested working only with the UNCCD SPI to leverage their expertise and request their input on what timing they will be involved.

Dr. Herrick agreed, but stated that they do have their own work plan, substantial assigned to them.

Maria Angelica Fernandez agreed to working with experts from the UNCCD SPI.

#### Project Governance Outcomes:

At the end of this discussion, it was decided that:

##### Executive Team –

The Executive Team will be responsible for reporting to the Project Manager and PI on the progress of project deliverables. Meetings will occur every other month and the Team will be comprised of:

- Dr. Mariano Gonzalez-Roglich (CI Lead)
- Dr. Jeff Herrick/Dr. Jason Neff (CU/USDA/LandPKS Co-Leads)
- Dr. Hanspeter Liniger/Dr. Tatenda Lemann (WOCAT Co-Leads)
- Dr. David Lopez-Carr (UCSB Lead)

##### Steering Committee –

The Steering Committee will approve of the work plans, created by the Executive Team. Meetings will happen every 6 months instead of quarterly and will be comprised of the Executive Team plus experts from

- JRC
- FAO
- NASA
- UNCCD SPI
- GEF-STAP

STAP –

Scientific and Technical substance of the project are there for quality control. This will be comprised of subject matter experts selected from the UNCCD SPI.

Note: Our year starts on July 1 so the Quarter calendar will occur as:

- Q1 – July-September
- Q2 – October-December
- Q3 – January-March
- Q4 - April-June

## WORK PLAN

We will go through the Work Plan; we will submit the first year only to the GEF but want to get an overall picture, so we drew out the entire project work plan.

### Component 1:

COMPONENT 1: Improvement of land degradation biophysical indicators to support monitoring towards land degradation neutrality

- 1.1.1. Activity 1&2 improve higher resolution 10-30m resolution for primary productivity, currently working using harmonized Landsat/Sentinel product
- 1.1.2. Also updating the land cover, supporting harmonization of ESA, JRC, others We met with ESA, they will update the 300m global land cover for most recent year. We will enable the ability for others to be ingested in the tool.

### *Component 1 Discussion*

Free de Koning: What is the risk of these datasets not becoming available?

Mariano Gonzalez-Roglich: There are medium risks that the land cover will not be available, but most countries have land cover datasets, they may have to rely on their space or environment agencies.

Hanspeter Liniger: Countries often have land cover datasets, but they still would create these for their work. This step will still need to be verified by the countries. This is a methodological step.

Mariano Gonzalez-Roglich: We will be producing the raw imagery to then implement into the tool. For land cover, UNCCD wants us to add the latest datasets. This will only be validated/verified within the pilot country.

Hanspeter Liniger: Would like to be involved in the technical principles for increasing to higher resolution. So that we do not end up with a product that doesn't make sense. Suggesting all groups are included in this conversation.

Maria Fernandez: In Colombia, we have a land cover product, have tried to improve the information that is available in Colombia. They have an activity without the information of productivity but have soil carbon that they have collected from last year. Can share a report on this information.

#### 1.1.4. Producing the documentation for users

Alex Zvoleff: There is a contract for recommendations and a revised GPG during this project

Free de Koning: What are the guidelines?

Mariano Gonzalez-Roglich: We will be including this on the website, where we have both the methodology and the step-by-step instructions. We were trying to align with the UNCCD reporting structure so that is how things are currently supported on our website.

Hanspeter Liniger: What are the carbon benefits?

#### *Component 1 Outcomes*

- CI to add new activity to create an agreement with partners on datasets/methodology related to Component 1.

#### *Component 2:*

Understanding the socio-environmental interactions between drought, land degradation, and poverty to support development of monitoring frameworks for UNCCD strategic objectives 2 and 3.

#### *Component 2 Discussion*

We discussed the strategic objectives from the UNCCD 1-5 from the PIF and how the UNCCD SPI and other institutions should be involved.

#### Outcome 2.1

2.1.1 Develop synthesis report on global climate and weather datasets could be used to understand droughts

David Lopez-Carr says we will have the drafts by September 2020 but finalize by December 2020.

Narcisa is leading the first two activities, are we bringing these into Trends.Earth. We will be getting together the recommendations on the dataset and methods for assessing it.

Narcissa Pricope: March-August will be on a Fulbright in Namibia and needs to coordinate activities around that.

Hanspeter Liniger: This is a very important activity; all countries are talking about climate change. When he asks for long term datasets, for frequency of extreme events there is not always data on extreme events and dry spells. Does not want modeled data but pulled from measured data. Even if there are data, they are not available for the country. Wants to make this data available!

Narcissa Pricope: How do we get into Trends?

Mariano Gonzalez-Roglich: This is a component of another activity. We want the best, but also how UNCCD sees how this is done and implemented by UNCCD/countries.

Meghan Mize: The SPI reports as a starting point for drought, there is a section on tools, but may talk about the datasets within that report.

Free de Koning: Assessing socio-environmental vulnerability

David Lopez-Carr: What are the expectations for the report format?

Mariano Gonzalez-Roglich: The reports should highlight the main points, but we will draft an outline and template for report formats.

Alex Zvoleff: Need to specific determine the audience when writing these reports: scientific vs. policy will have a different narrative.

Jeff Herrick: What decisions are likely to be taken from our reports? The UC groups can find these reports on droughts. One thing worth noting: the final optional requirement for reporting. The report made it clear that these indicators are under development. These are easy to report on those. More complex, may result on continuing evolution. HP comments on climate change – are these climate change relevant, but not necessarily caused or intensified by climate change. We need to understand how parties can adapt to drought. Even though we can share this concern that everything is associated to climate change, it may be impacted by land degradation.

#### *Component 2 Outcomes*

- CI to add the institutions for another component on the first activity to ensure that we have consensus within the work plan.
- CI to add a deliverable from the first activity to develop a synthesis report on global climate.
- UCSB will develop two reports to get feedback along the way.
- CI to draft an outline and template for report formats.

#### *Component 3:*

Support planning and monitoring of land degradation neutrality (LDN) priorities from field to national scales.

#### *Component 3 Discussion*

Meghan Mize: LandPKS is point-based so they are collecting information at a given point, they suggest linking whatever they are going to display rather than directly integrating into the App.

Jeff Herrick: Barron Orr, was engaged in this partnership. One of the things he emphasized, that UNCCD was thinking about the reporting indicators. The conversation at the CRIC in Guyana this year, was trying to understand the needs of the countries. How do we guide the conversation for activities on the ground? This project provides co-benefits for both, more info on the ground, and for reporting.

Ultimately, how to share the information together that we want to be careful that Land PKS is a tool to help people do things. By offering judgement, we may risk the ability to use this.

If a private landowner sees the assessment of their land is extremely degraded, it may not work well at the pixel level. We need to consider the way that we communicate Trends.Earth through the App. Their

developer constantly reiterates that users just look through the app without reading carefully. We want to provide access through the App, but we need to be careful on how we think users will use the App. We are saying what the situation might be, based on global datasets. We will need some testing and some feedback. We will need to think more about how different contexts and different places will think about these interpretations.

Alex Zvoleff: This may cause more difficult integration of these works. Are there ways that we can address some of these issues by masking at a certain zoom level.

Jeff Herrick: To keep it light, they access some datasets via an API so that the App functions a bit more seamlessly. As these Apps get larger, than pulling and updating these databases on your phone becomes heavier and consumes data. There are ways to do this that make it feel more seamless. For the purpose of the work plan, through the application, retrieving it will be more difficult.

Hanspeter Liniger: This is a triangle it's not linking LandPKS to WOCAT and LandPKS to Trends.Earth, we are working on all this integration together. So, this activity should include all the tools. He would like the judgement of this at another step.

Maria Angelica Fernandez: Countries have other systems and tools that they are using. For example, these tools may also be already in use or complementary for their work. She is using LandPKS, and has also used WOCAT. By linking these together, it will be a very good opportunity for Colombia, for example.

Mariano Gonzalez-Roglich: We have another activity where we will have space for some feedback, besides these three includes the other tools will be integrated.

Maria Angelica Fernandez: For the study, what will the program look like?

Mariano Gonzalez-Roglich: There are 2 different types of interaction with the countries.

- 1) A desk study in collaboration with our partners.
- 2) A pilot testing – activities on the ground in Colombia, which regions should be tested, different LULC scenarios. This will allow us to test this in coordination, there will be capacity building opportunity for stakeholders within the country.

Jeff Herrick: Broader question or comment – What other activity that he thought would be in there. Using the better datasets for improving the indicators, but not seeing it in the activities. Reporting with Trends.Earth, improving the quality of the inputs, and integration of tools to improve user ability and the context of the broader Trends.Earth data.

Mariano Gonzalez-Roglich: There are three sub-indicators that are being used for reporting of the bio-physical indicators. How can we use this data to modify? There is not an easy way for changing the indicators – there is not a way to change the actual map based on data from the field. The contextual information will come from WOCAT, if there is an increase, what does that really mean? That is how we were thinking of using WOCAT/biophysical data to inform what the outputs from Trends.Earth means.

For LandPKS, we were thinking this would help to understand how remote sensing data will help to interpret information on the ground. So not correcting the maps, but ground verification.

Alex Zvoleff: We could potentially use this to correct the products, but a user will use this for ground verification.

Mariano Gonzalez-Roglich: We are considering an option to include land cover mapping into the project, at a landscape scale rather than at a larger scale.

Jeff Herrick: One of the best ways to set up the next project, to look at how those data could be leveraged to improve some of these products. Would also like to connect with the BLM aim program. People are now using 55,000 spots across the US, species level and biophysical variables to integrate other apps. There are some opportunities to collaborate with those efforts. Contextualization will help with other and future projects.

Hanspeter Liniger: Has used this data (from Trends.Earth) in the field and found it very useful. To identify what would that spot looks like (in terms of land degradation) and where we are now. The second step- how do we use that ground truthing data to improve these maps. By looking at seasonal changes, have a better understanding of what changes are occurring from the LandPKS work. The same landscape giving a different picture.

Jeff Herrick: I think this is a good example of the difference between a facilitator vs. someone opening up an App.

Jeff Herrick: Add a chat with Meghan and Tatenda, but they want to also think about the limitations sections for the proposal. Until WOCAT's database is attributed in a way that allows you to look at a combination of land attributes and climate attributes, you can look at those together to determine which SLM practices are appropriate, LandPKS's abilities to identify the SLM that are practical, are limited. For next project, we must figure out how to make that attribution from WOCAT happen. There is a common understanding and we will be careful on the language.

Tatenda Lemann: One App is in test phase linking with WOCAT, they are linking within a certain area. It will always be a choice; it will take time to get the right indicators selected. It is possible now, to get these synergies. It's always a suggestion of different technologies. It is possible where there are more specific questions now, but there are efforts to combine this under way.

Jeff Herrick: Please send the other app so we can learn where it has been coming from. Have been promoting WOCAT for over a decade. Would love to have the WOCAT database attribution of these practices. We need to ensure that we are applying regional practices where appropriate. Would love to see the potential of WOCAT realized. WOCAT then can save the world. But we really want to sit down and work with you guys.

Tatenda Lemann: It's not a risk, just how good we are doing it. Tatenda sent the example App <https://farmbetter.io/our-app>

Hanspeter Linger: LandPKS and WOCAT, we can get better information spatially what is happening in the country, what interventions are applied where and what it means. Don't always have the information needed. By seeing the intervention and the impact on the soil, we can pull information on which land management practice is where, and what could be applied on the ground.

It can have potential for gaps in those areas as well. The potential for spreading the site-specific information. For Land PKS it's the way forward. To bring into Trends.Earth information, we will help improve the mapping for this project.

Jeff Herrick: This is the same thing that Barron mentioned on the phone. WOCAT Light, LandPKS and other apps are doing, we can use LandPKS to gather information from farmers (adding a privacy function soon) of what is working and what is not. We could potentially add in functions on feedback on SLM practices on that particular piece of land.

Mariano Gonzalez-Roglich: We are interested in the value of the aggregated data. What changes would need to be made? Analysis or functionality? What would we do with the aggregated data? Barron set up a tension within this call. The Trends.Earth perspective and what other perspective case uses.

- Improving the database (knowledge base – WOCAT)
- Using aggregated data to improve Trends.Earth's products. No changes in LandPKS to be useful for Trends, would not require any change to the App. But what HP is suggesting, is the how to move forward with these practices. Does this work? This is good information. May be rather easy to integrate this information, a value-added component of this project. Deviating from the activities within this work plan.

## Output 3.2

### 3.2.1 Updating QGIS v3, almost complete

3.2.2 Supporting actual planning at the country, but also wanted to add a decision support module, climate and social datasets. Can add datasets, but only for the three sub-indicators. This will allow users to add additional datasets in QGIS. How does users interact with Trends.Earth to support decision making?

3.2.3 This will be slightly different than using for SDG 15.3.1, will be more of a manual guide for users to use this tool.

Hanspeter Liniger: Understanding how we prioritize areas for work. One step implemented into Trends.Earth. This should be a Tools4LDN collaboration.

Meghan Mize: We must have branding that recognizes multiple partners.

Jeff Herrick: UNCCD tools for LDN project website, leave it to the UNCCD to broker that tool (knowledge hub)

Alex Zvoleff: We should replicate these things, so that we have more control over their content.

How do you interact with your users?

Meghan Mize: LandPKS, wanting to develop a network with users

Hanspeter Liniger: WOCAT contacts users through email, contact us page on their website.

Meghan Mize: Suggests building the user community around the Tools4LDN project website and chat with UNCCD to see if they can support some other platform.

Send out revised work plan, documentation from our partners

Using LandPKS to establish an ecological site dynamic and SLM practices that can contribute to those activities. These are starting up in Argentina, Peru and Chile. Lima in May this year (2020), building a Latin American consortium.

#### *Component 3 Outcomes*

- For the first sub-component and activity (e.g. 3.1.1), add a visioning activity that includes WOCAT, CU, CI
- Add an activity where WOCAT database will be added to LandPKS.
- 3.3.2 Design and implementation should be divided into two activities.
- 3.2.2. Develop clarity on language of the decision-support framework
- Add language on the improvement from LandPKS to WOCAT
- Build a user community around the tool
- CI to purchase the domain of the website Tools4LDN
- Determine how user feedback will be integrated into the platform.

#### *Component 4*

Support UNCCD and its signatory countries by building capacity to support planning, monitoring, and resource mobilization for LDN.

#### *Component 4 Discussion*

Once we have revised the Work Plan, we must establish a way for the partnership to form agreements. Majority of votes, who has a say, etc. We discussed the different means of finding resolution in conflict and decided that the Executive Team as representatives of each partnership must form a consensus for disagreements or agreeing on major topics.

#### *Component 4 Outcomes*

Starting in January, schedule in person in person meetings for the technical discussions on tool integration.

- LandPKS, CI, WOCAT – technical tool integration
- UCSB – three partners (Brown, UNCW, UCSB) CI, SPI/UNCCD working on the drought indicators

Monica will reach out to everyone to follow up with scheduling these meetings.



Appendices

Welcome Remarks



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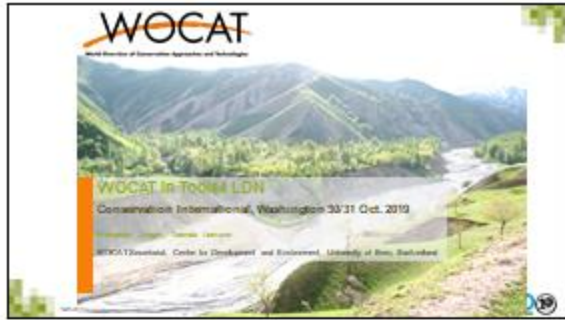


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Introduction to the Projects



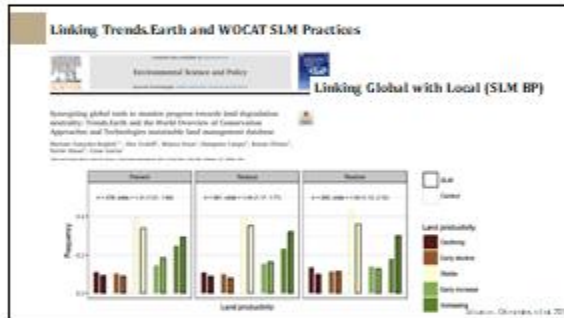
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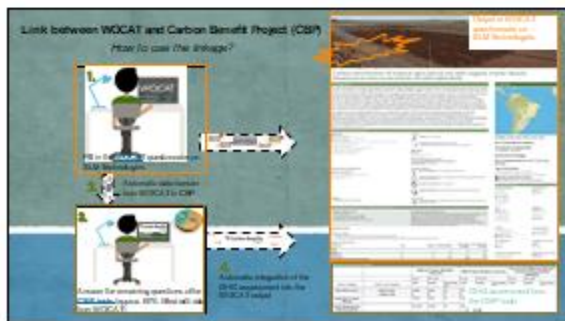
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LandPKS tool and land mgmt (SLM)

To be further developed / harmonized:

- Link LandPKS with WOCAT BP reporting by using some SLM technology classification
- Enhancing iBEST Practices reporting with a slight App Version
- Shows impacts of different LM on:
  - soil cover
  - soil health /degradation
  - Vegetation health / Degrad.

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**Results: Side-event COP14 Delhi:**  
Major assets / interest of the joint effort...

- Linking local - national - global
- Combining and harmonizing different tools (institutions)
- Two way data flow/use:
  - providing existing (soil, SLM, climate, trends ... to local users)
  - feeding local level assessment to national and global assessment
- Supporting countries in their LDN efforts
- Improving the quality of LDN assessment and ...
- Building up robust local - national - global evidence base
- **Gaining trust for decision making towards LDN**
- Testing... improving in Colombia; ... ??? Individual testers? Cambodia
- Training?
- 3 indicators enough? adding additional? economics

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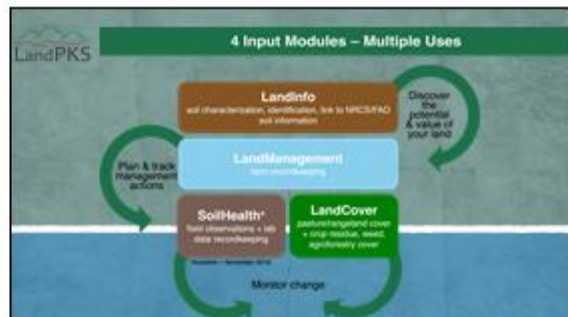
**LandPKS** Mobile App for Farmers, Ranchers, Planners, Extension & Citizen Scientists

Collect, interpret and store soil, vegetation & management data. Access soil & management information

Get more info and register for updates at: [LandPotential.org](http://LandPotential.org)

USDA Agricultural Research Service, FAO, IFPRI, International Institute of Tropical Agriculture, USAID

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LandPKS

OUR TEAM

Jeff Herrick, Global Lead	Jason Hart, Modeling Lead	Mignon Mook, Global Coordinator	Clarron Kenny, Lead Programme
Jon Maynard, Soil Science Consultant	George Peacock, Rangeland Specialist Consultant	Aida Carreras, Program Specialist	Thorn Nguyen, Programme
Eliabisi Dasiel, Tanzania Country Coordinator	Adnan Suni, Ethiopia Country Coordinator		

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LandPKS

THANK YOU

LandPotential.org

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DAVID LOPEZ-CARR, PHD  
Co-Editor  
Resilient Health, Center of Expertise  
University of California, Global Health Institute

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Overview of UCSB Expertise

Component 2 - Understanding the socio-environmental interactions between drought, land degradation, and poverty to support development of monitoring frameworks for UNCCD strategic objectives 2 and 3

Inception Workshop for the G27-funded Tools for Land Degradation Neutrality (Tools for LDN) Project  
30-31 October 2019

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Dr. Narciso Procopio  
Associate Professor of Geography

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Department of Earth and Ocean Sciences  
University of North Carolina Wilmington  
617 South College Road  
Wilmington, NC 28403-5604  
Tel: 910.343.2400, Fax: 910.343.7071  
email: procp@uncw.edu, Narciso.Procopio

Education:  
Ph.D. in Geography and Environmental Program, University of Florida (2011)  
M.S. in Geosciences, Eastern Kentucky University (2008)  
B.A. in Geography and English, Middle Tennessee University (2004)

Research:  
Geographic Information Systems, Remote Sensing, Water Resources

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**Research interests:**  
Narcisca's work focuses on interdisciplinary, applied questions at the **intersection between land change science, watershed science, and population geography**, primarily focusing on understanding the vulnerability of different populations to environmental change in the context of transboundary-managed water and natural resources. Narcisca examines the **drivers, patterns and impacts of vegetation change and degradation** on both ecosystems and people, having previously mostly worked in the southern and eastern African drylands. She uses **spatially explicit modeling approaches, geographic information science and remote sensing imagery coupled with ground-based biophysical and social data** to document and understand the causes and consequences of land cover changes at different spatial and temporal scales. Her work is mostly focused on drylands ecosystems as they are fragile and beautiful but also at increasingly high risk from various climate and environmental change impacts; they also cover approximately 40% of the Earth's surface and are home to over 2 billion people, more than 90% of whom live in developing countries with increasing populations.

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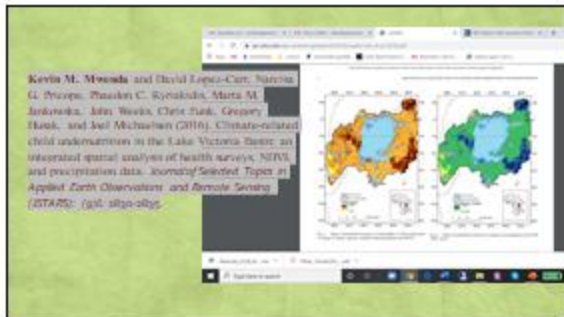
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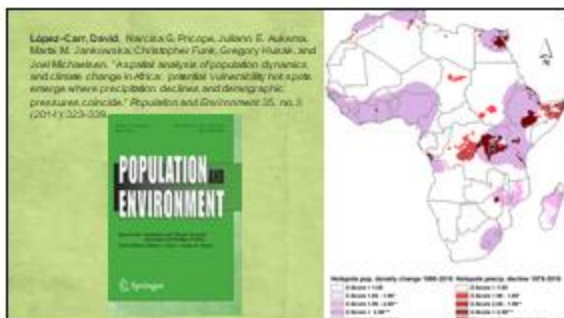
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Origins of project

Began as an output of a Global Environment Facility (GEF)-funded project requested by the GEF Scientific and Technical Advisory Panel (GEF-STAP).

**The challenge:**  
How to assess and track land degradation in support of national reporting and SLM?

ATRENDS EARTH

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SDG 15.3 – Land Degradation: Neutrality

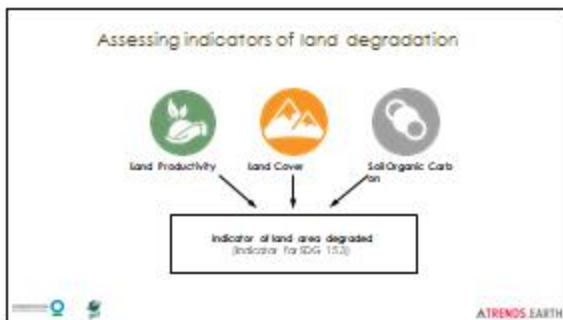
Land Degradation: Neutrality (LDN) goal is no net loss to degradation:

- **Avoid** or **reduce** degradation through sustainable land management
- **Restore** and **rehabilitate** lands that were degraded in the past

Implications: for biodiversity, climate (carbon), livelihoods

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**Productivity trajectory**

- Calculation of trend of annually integrated NDVI from MODIS or AVHRR time series

**Productivity performance**

- Comparison of above NDVI of each pixel with that of similar areas (determined by intersection of land cover and soil units)
- Calculation of annually integrated NDVI from MODIS or AVHRR time series
- Units formed by  $EA \cdot CO_2$  (land cover product, soil units from SoilGrids)

**Productivity state**

- Comparison of above NDVI of each pixel with historical values of the same pixel

ATRENDS EARTH

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**Land cover degradation**

- Acquire of local or globally available land cover data
- Determine transition matrix by giving weighting of each possible land cover transition in terms of degradation
- Calculate degradation map

**Soil organic carbon degradation**

- Acquire of local or globally available soil organic carbon products
- Acquire of local or globally available land cover data
- Calculate change in soil organic carbon using input data and IPCC transition factors
- Calculate degradation map

ATRENDS.EARTH

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**ATRENDS.EARTH**

TRENDS.EARTH is a free and open source tool for monitoring indicators of land change, particularly those for assessing land degradation, rehabilitation, and sustainable cities.

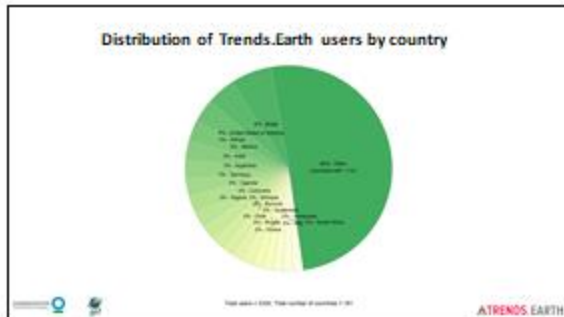
Introduced in 2017, with support of Global Environment Facility (GEF), original focus on land degradation (SDG 15.3.1), to support monitoring and reporting to UNCCD. Further developed in collaboration with IAHIGRA and NASA to assess indicators for sustainable cities (SDG 11.3.1).

Trends.Earth can be used to assess indicators of land degradation and development of cities, to prioritize activities, and to monitor impact or progress toward targets.

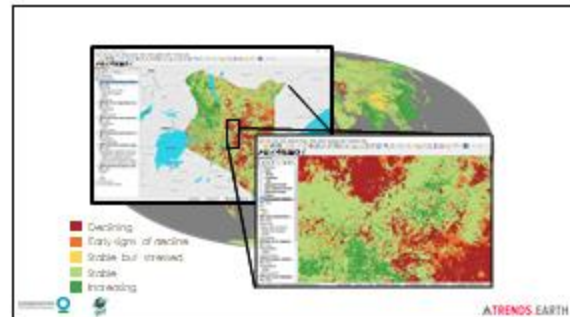
Over 140 countries trained on tool, over 2000 active users.

ATRENDS.EARTH

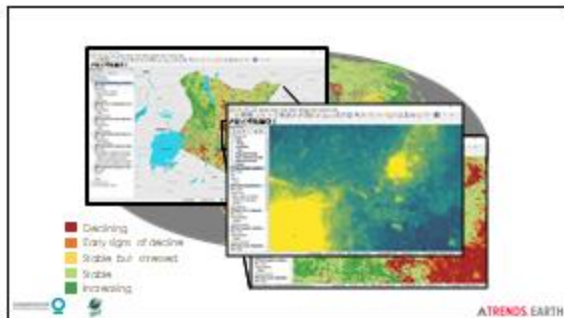
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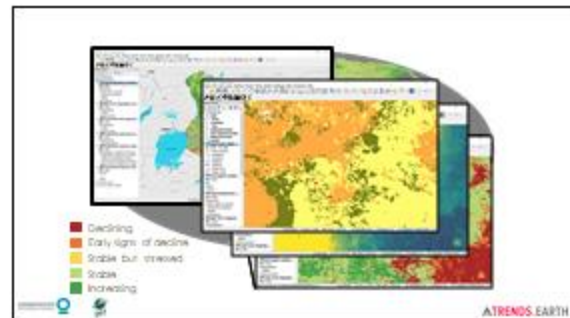
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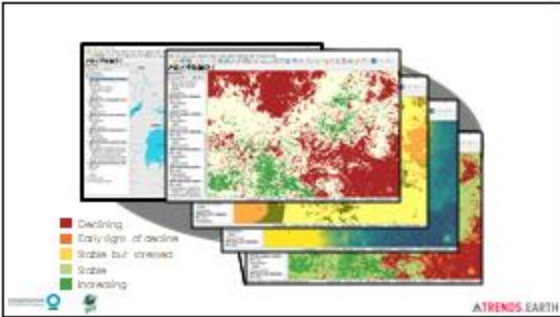


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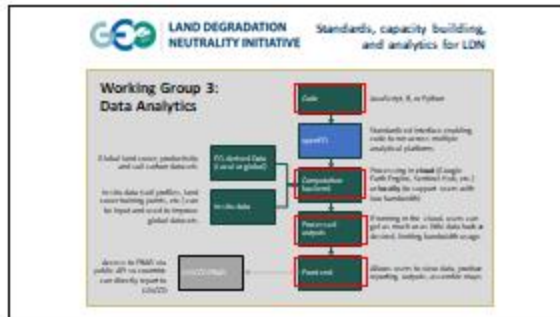


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**PARTNERS**

**Supported by**

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**TRENDS.EARTH**  
tracking land change

ALEX ZVOLEFF, PHD  
Senior Director, Resilience Science

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**BREAK**

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GEF Overview and Requirements



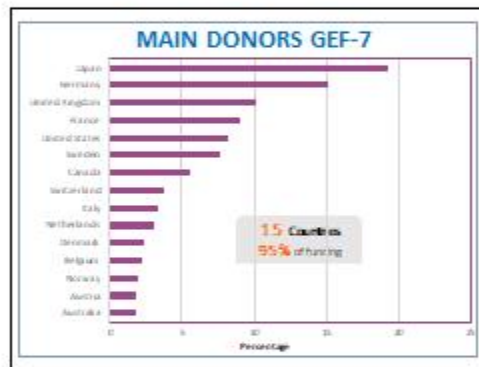
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### IMPACT PROGRAMS

**Food, Land Use & Restoration**

- Sustainable food systems
- Land-use restoration
- Soil conservation

**Sustainable Cities**

- Planning, urban resource management
- Urban connectivity, freight and transport
- Infrastructure, land, ecological urban, etc.

**Sustainable Forest Mgmt.**

- Assess sustainable landscapes
- Design better sustainable landscapes
- Improve sustainable landscapes

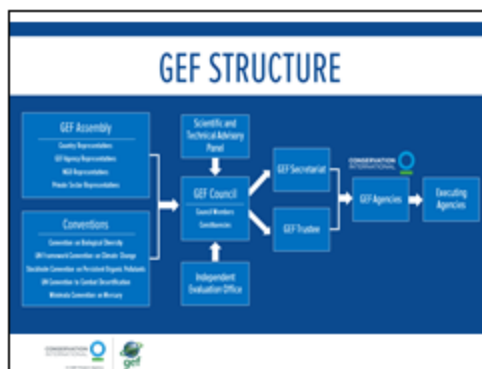
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### RESOURCE ALLOCATION FOR FOCAL AREAS BIODIVERSITY, CLIMATE CHANGE, LAND DEGRADATION

- STAR country allocation
- STAR set aside
  - Enabling activities
  - Integrated programming
  - Global and regional programs

**Enabling Activity (EA):** a project for the preparation of a plan, strategy or report to fulfill commitments under a Convention.

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### GEF (IMPLEMENTING) AGENCIES

- The GEF provides funding to eligible governments and non governmental organizations (NGOs) through GEF (Implementing) Agencies
- GEF Agencies work with Executing Agencies (EA) to design, implement, and execute suitable GEF projects and programs

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### IMPLEMENTING VS. EXECUTING AGENCIES

**IMPLEMENTING AGENCY**

- Makes the funding available on behalf of Fund to the Executing Agency
- Accountable to the Donor
- Provides oversight to the Executing Agency
- Ensures fiduciary standards
- Supervises development, implementation, monitoring and evaluation of projects

**EXECUTING AGENCY**

- Manages projects and activities directly
- Reports on project progress
- Manages sub-contracts, project staff and funds
- Executes any other project management functions

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### GEF AGENCIES

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### CONSERVATION INTERNATIONAL GEF AGENCY

- Conservation International (CI) was accredited in November 2013
- Mission of CI: Building upon a strong foundation of science, partnership and field demonstration, Conservation International empowers societies to responsibly and sustainably care for nature, our global biodiversity, for the well-being of humanity
- Offices in more than 30 countries, and work with more than 1,000 partner organizations on thousands of projects worldwide.

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### THE CI-GEF AGENCY PORTFOLIO AT A GLANCE

NUMBER OF PROJECTS	NUMBER OF COUNTRIES	NEW AGENCY AGENCIES PER EQUIPMENT	NEW AGENCY AGENCIES PER EQUIPMENT	FINANCING
31	45	104M	\$315 M	1:3:3

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### CI-GEF FUNDING DISTRIBUTION OVER FOCAL AREAS

- Biodiversity
- Multi-focal
- Climate Change
- Land Degradation
- International Waters

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### CI-GEF AGENCY POLICIES AND GUIDELINES: RESOURCES

- Policies and procedures include:
  - Environmental and Social Management Framework (includes guidance on how to develop safeguard plans)
  - Procurement Guidelines
  - Monitoring & Evaluation Policy
  - Cancellation Policy
  - Code of Ethics
  - Accountability and grievance mechanism
- Available on the CI GEF Agency web page: <http://www.conservation.org/gef>
- Templates with guidelines for all required documents

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### Strengthening Land Degradation Neutrality data and decision-making through free and open access platforms

**Objective:** To provide improved methods and tools for assessing land degradation and understanding the socio-economic conditions of vulnerable communities in affected areas through the integration of free and open platforms to support country level implementation and reporting to the UNCCD

**Global Area:** Land Degradation

**Geography:** Global

**Executing Agency:** Moore Center for Science

**CI GEF Total Grant:** US\$ 2,000,000

**Co-funding Total:** US\$ 399,354

**Project duration:** 24 months

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### Annual Workplan

**SECTION 1) Project Results Workplan**

**Project Objective:** To provide improved methods and tools for assessing land degradation and understanding the socio-economic conditions of vulnerable communities in affected areas through the integration of free and open platforms to support country level implementation and reporting to the UNCCD

**Key Deliverables:**

- Develop a set of free and open access platforms to support country level implementation and reporting to the UNCCD
- Develop a set of free and open access platforms to support country level implementation and reporting to the UNCCD
- Develop a set of free and open access platforms to support country level implementation and reporting to the UNCCD

Deliverable	Sub-deliverable	Responsible Party	Start Date	End Date	Progress	Comments
Develop a set of free and open access platforms to support country level implementation and reporting to the UNCCD	Develop a set of free and open access platforms to support country level implementation and reporting to the UNCCD	CI GEF	2023-07-01	2023-12-31	100%	

- At beginning of each fiscal year (July 1 – June 30),
- Activities planned by output with timeframe
- Activities for safeguard plans
- Activities for risk mitigation, M&E, evaluations, audits

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### Quarterly technical progress reports



- Quarterly technical reports within workplan template
- Q1: July-Sept, Q2: Oct-Dec, Q3: Jan-March, Q4: Apr-June
- For approval by CI-GEF

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### Annual Project Implementation Report (PIR)



- Annual reports (starting after first full fiscal year of implementation) of project progress towards targets for objective, outcome and output indicators
- Submitted to GEF Secretariat

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Granting and Financial Procedures



1



2



3



4



5



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### PLAN FOR SUCCESS

Plan	Plan ahead for meeting deadlines, procurement, or funding institutionalization, annual reports and budget, project implementation report (PIA).
Organize	Organize your hardcopy paper and electronic files to track payments needed, reports and other documents you will need to keep under the grant and the "bookkeeping" issues of your agreement.
Notify	Notify us when there's a change in staff, need for budget extensions, need for procurement, and for any prior approvals.
Inform	Keep us informed about successes and challenges with your grant.

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### CI GRANT AGREEMENT OVERVIEW

- Period of Performance: September 5, 2019 – May 31, 2022
- Grantee Amount: USD 2,000,000 (CI-GEF will retain USD 15,000 for the Terminal Evaluation)
- Co-financing amount: USD 397,700
- Contacts:
  - Programmatic/Technical: Free de Koning (CI-GEF), Monica Ndon (MCS)
  - Administrative/Financial: Shannon Woods/Susana Escudero (CI-GEF), Vilasova Gonzalez (MCS)

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### COST REIMBURSABLE GRANT

- This grant is "cost reimbursable", meaning we pay for actual costs incurred (up to the total amount specified in the grant agreement). Grant funds must be used only for project activities.
- Only expenditures for reasonable, approved, and documented costs as identified in the approved proposal and budget are allowable. Disallowed costs must be returned to CI-GEF.
- All expenses funded by the Project, including salary costs, must be supported by adequate documentation. **For salaries, the grantee must keep timesheets.** See next slide for examples.
- Funds must be segregated (either in accounting system or in a separate bank account).
- Unless otherwise specified, these funds must flow down to any sub-grants or sub-contracts made with Project funds.
- Unspent funds after end of grant must be returned to CI (the GEF).

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### TIMESHEET RESPONSIBILITIES

**CI Timesheet Responsibility**

To record actual hours worked and leave taken, all employees are required to submit a timesheet for each pay period. Staff must record time on a weekly basis to capture work requirements and to ensure to record actual hours worked each day. CI's time sheet is shared; employees must submit a completed time sheet to their laboratory supervisor. All actual hours worked on CI will be recorded in the time sheet. The CI-GEF will only reimburse as identified in the budget of the work.

**Expectations:** All employees are required to complete and submit their timesheets to their laboratory supervisor on a weekly basis (before the last Friday of the month). Employees unable to complete their timesheet should contact their supervisor for assistance. Employees who regularly submit their time sheet after the deadline may be subject to disciplinary action.

**Support:** Review and approve all hours recorded, including leave, on each timesheet. Approve overtime for hours employee is worked compensatory time for salary employees. Ensure that employee provide documentation for specific types of leave when required in accordance with CI's Leave Policy. If an employee is unable to complete their timesheet, the employee's supervisor, with first-hand knowledge of the employee's schedule and activities, may complete the timesheet on the employee's behalf.

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### TIMESHEET EXAMPLE

- Timesheet in Business World

Employee	Client/ID	Client	Rate/Hour	Rate	Hours	Total	OT
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.25	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	1.75	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00
000008	USF	USF	0.00	0.00	0.00	0.00	0.00

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### FINANCIAL MANAGEMENT

- Track your budget on a monthly basis.
- Compare the budget to actual activity.
- Check before spending that items are budgeted for and expenditures have been allocated to the appropriate lines.
- Grantee should focus on delivering project objectives within the total budget rather than spending all the cash outline in the budget.
- Over and under spending within reasonable limits can be done with proper justification (check your grant restrictions).

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### PROJECT BUDGET

Component	Q1	Q2	Q3	Q4	PROJ	TOTAL
Personnel salaries and benefits	\$ 110,000	\$ 110,000	\$ 110,000	\$ 110,000	\$ 440,000	\$ 1,100,000
Travel	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 40,000	\$ 100,000
Materials	\$ 5,000	\$ 5,000	\$ 5,000	\$ 5,000	\$ 20,000	\$ 50,000
Equipment	\$ 20,000	\$ 20,000	\$ 20,000	\$ 20,000	\$ 80,000	\$ 200,000
Other Direct Costs	\$ 10,000	\$ 10,000	\$ 10,000	\$ 10,000	\$ 40,000	\$ 100,000
<b>Total</b>	<b>\$ 155,000</b>	<b>\$ 155,000</b>	<b>\$ 155,000</b>	<b>\$ 155,000</b>	<b>\$ 620,000</b>	<b>\$ 1,540,000</b>

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### PRINCIPLES FOR SPENDING GRANT FUNDS

Are costs:

- Reasonable:** Do incurred costs seem reasonable for the time, place, activity?
- Allowable:** Do any incurred costs fall under the unallowable cost categories?
- Allocable:** Is it possible to discern that costs are for project-related purposes?
- Consistent:** Is a written, documented, and approved methodology followed consistently? If 'YES' this helps demonstrate allocability.

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### EXAMPLES OF ALLOWABLE AND UNALLOWABLE COSTS

All charges to a grant must be for actually incurred costs that are supported by documentation.

Are these expenses clearly allowable under the terms of being 100% allowable?

- Grantee Project Staff charges 70% of total salary to Q1 and 30% to a project funded by Foundation B. Travelers do not include which project's time was allocated to... (Allowed or disallowed? not clear if the time spent on different projects was not reported. It is allowable in-kind if the charges are allowable.)
- Grantee budget 6000/month (12000 for 20 hours) for Project A but time and reports for 20 hours (6000) incurred. However, travelers' income claims only 10 hours spent on the project. (Allowed or disallowed? not clear if the 10000 per month is a budget of 6000 for the project, not reported, and grantee spends 6000 on that for the project, and includes enough for reimbursement of 6000.)
- Grantee's travel expenses are supported by original receipts. (Allowed or disallowed? 100% of travel cost, this kind of a total 10 Grantee employees, make up the Project.)
- The amount charged to Q1 is not allowable as allowable because the project is partly funded by something else. It is not fully applicable to the Project. A method for allocating either and should be developed and the Q1 project should be charged based on that agreed method.

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### USE OF FUNDS: PRE-APPROVALS

- Grantees shall request and receive written approval from CI prior to making any changes to the budget:
  - Higher than 10% variation between budget categories inside a component.
  - Budget reallocations among components in the project higher than 10% of the total project grant.
- Any Project Management Costs (PMC) in excess of the approved amount will be disallowed. Grantee hereby expressly binds itself to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under this Agreement.

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### USE OF FUNDS: PRE-APPROVALS

- Example: Cost Categories within Component 1

Cost Category	Original Budget	Actual	% Change
Salary Subtotal	100,000	113,000	10.8% increase in Budget Cost Category
Employee 1	50,000	70,000	
Employee 2	50,000	43,000	
Professional Services Subtotal	80,000	39,000	18.8% decrease in Budget Cost Category
Consultant 1	20,000	20,000	
Consultant 2	20,000	0	
TOTAL	180,000	152,000	

$(100,000 - 113,000) / 100,000 = -13\%$  for Salary  
 $(80,000 - 39,000) / 80,000 = 51\%$  for Professional Services  
 Since the % change is over 10%, the budget at least one requires CI/CI prior approval

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### USE OF FUNDS: PRE-APPROVALS

- Example: Component 1 vs. Component 2

Component	Original Budget	Actual	% Change
Component 1	200,000	212,000	6.4%
Component 2	300,000	288,000	-4.4%
TOTAL	500,000	500,000	

$(212,000 - 200,000) / 200,000 = 6.4\%$  budget variance  
 $(288,000 - 300,000) / 300,000 = -4.4\%$  budget variance  
 Since % change is under 10%, it does not require prior approval

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### USE OF FUNDS

- If Executing Agency is found in non-compliance of funding terms through spot checks, or fails to meet deadlines without a prior agreement with the Project Manager and Grants Director, the CI-GEF Agency may (in its sole discretion) place the Project on hold in Business World (internal) or stop payments (external) until expenses can be properly justified and/or deliverables are submitted to the CI-GEF Agency.

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### USE OF FUNDS

- Funds **can** be:
  - Transferred from one currency to another (i.e., USD to GYD) at the best possible rate of exchange.
  - Must be used for charitable, scientific, literary or educational purposes.
- Funds **cannot** be:
  - Used for expenses incurred prior to the start date or after the end date.
  - Used for propaganda, to influence legislation or public election.
  - Used on expenses that are or give the appearance of a conflict of interest.
  - Used as assistance, payments, or anything of value, be made, promised or offered to or accepted by any government employees or officials.
  - Used for any activities that contravene the CI-GEF project Agency's Environmental and Social Management Framework.

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### USE OF FUNDS: COMPLIANCE

- Compliance [more information on this will be presented under Security Screening]
- Grantee represents and warrants compliance today and throughout the Period of Performance, with all U.S. economic sanctions, anti-terrorism laws, and anti-money laundering laws, including but not limited to the USA PATRIOT Act, the laws administered by the United States Treasury Department's Office of Foreign Asset Control, Executive Order 13224, as if such aforementioned laws and regulations directly reached the activities of the Grantee. The Grantee shall not take any action that might cause CI to be in violation of the aforementioned laws and regulations.

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### COMPLIANCE: FLOW DOWNS

- CI is required under the terms of such agreements to flow down certain funding terms imposed by the GEF to any recipients of such funding, provided, however, that Grants understands and agrees that neither the World Bank nor the GEF are parties to the Agreement and have assumed no obligations vis-à-vis the Grants. As a GEF Project Agency, CI is accountable to the GEF Council for GEF-financed activities and to ensure that such activities are carried out in accordance with CI and GEF policies, criteria and procedures.
- Conservation International does not provide legal consultation or advice, as the grants must consult their legal counsel.
- Grants warrants compliance with any local laws that apply in the jurisdiction the grants is operating in or carrying out the project.



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### REPORTING AND AUDITS

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### REPORTING REQUIREMENTS

- | REPORTING REQUIREMENT  | DATE   | REPORT TYPE                                  |
|--|--|--|
| Annual Workplan  | April 30 <sup>th</sup>   | Annual Audit                                 |
| Annual Budget  | May 31 <sup>st</sup>   | September 2019 - June 2020; Sept 2020        |
| Quarterly Financial Reports  | October 31 <sup>st</sup>   | July 2020 - June 2021; Sept 2021             |
| October 31 <sup>st</sup>   | January 31 <sup>st</sup>   | July 2021 - May 2022; Sept 2022              |
| January 31 <sup>st</sup>   | April 30 <sup>th</sup>   | Final Evaluation: Starts April 1, 2022       |
| April 30 <sup>th</sup>   | July 31 <sup>st</sup>  | Project Implementation Report (PIR): June 30 |
| July 31 <sup>st</sup>  | Final Financial Report: 60 days after completion of Project Activities |  |
| Final Project Report: 60 days after completion of Project Activities |  |  |



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### REPORTING REVIEW MATRIX

Reporting Requirement	2019-2020		2020-2021		2021-2022	
	Start Date	End Date	Start Date	End Date	Start Date	End Date
Annual Workplan	April 30, 2019	April 30, 2020	April 30, 2020	April 30, 2021	April 30, 2021	April 30, 2022
Annual Budget	May 31, 2019	May 31, 2020	May 31, 2020	May 31, 2021	May 31, 2021	May 31, 2022
Quarterly Financial Reports	October 31, 2019	October 31, 2020	October 31, 2020	October 31, 2021	October 31, 2021	October 31, 2022
Annual Audit	September 2019	June 2020	September 2020	June 2021	September 2021	June 2022
Final Project Report	60 days after completion of Project Activities		60 days after completion of Project Activities		60 days after completion of Project Activities	



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### FINANCIAL REPORTING TEMPLATE



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### PROCUREMENT AND GRANTS PLAN



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### EQUIPMENT

EQUIPMENT							
#	Date	Name of Equipment	Source	Acquisition Date	Location	Est. Acquisition Cost (USD)	Remarks
1							
2							
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							
14							
15							
16							
17							
18							
19							
20							

Total Equipment Acquisition: \_\_\_\_\_

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### PUBLICATIONS

PUBLICATIONS		
#	Publication Title	Publication Date/Issue/Volume/Year
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		
16		
17		
18		
19		
20		

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### CASH FLOW PROJECTION

CASH FLOW PROJECTION											
Item	Q1	Q2	Q3	Q4	YTD	Q1	Q2	Q3	Q4	YTD	Balance
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
18											
19											
20											

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### CO-FINANCING

CO-FINANCING											
Item	Q1	Q2	Q3	Q4	YTD	Q1	Q2	Q3	Q4	YTD	Balance
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
11											
12											
13											
14											
15											
16											
17											
18											
19											
20											

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- ### CO-FINANCING
- **What to do add to your co-financing letter as supporting documentation?**
  - Use your official letterhead.
  - The letter should be addressed to Ingrid Pitelka, VP of G-GEF Project Agency.
  - Add a Subject line and state the following: "Co-financing support for IWPE of PROJECT."
  - Provide proof for co-financing such as which organization is providing co-financing, the amount materialized that year and the date, Co-financing year is **check 2018- June 30 - 2019**
  - State in the letter if co-financing is in-kind, grant, loan, equity investment, guarantee, or other
  - Add to which components the co-financing is contributing to and what those amounts covered
  - Assume that the letter is signed by the representative of the organization.
  - The **land inventory form, WOCAT** G-GEF Agency will compile all the letters and submit them to
  - Assume amount in letter matches the amount in your Quarter 4 report.

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- ### PROJECT MONITORING
- **Record Keeping and Documentation:**
  - Grantees shall segregate funds received and expenses incurred under this Grant from other sources of funding, including other G-GEF grants. Grantees shall keep all pertinent records, both financial and technical, relating to this Grant for a period of three years following the termination or expiration of this Grant. CI, the GEF, the World Bank, their representatives, and assigns, reserve the right to inspect, review or audit any and all records relating to this Grant. All reported expenditures and financial transactions must reflect actual costs incurred. Accounting records shall trace back to and be documented by source documentation (i.e., cancelled checks, paid bills, cancelled invoices, packing slips, payroll documents, time and attendance records, and sub-grants/contracts agreements). Documentation shall demonstrate that costs are (i) reasonable, allocable, and allowable, (ii) incurred in accordance with all Funding Terms and Conditions, (iii) treated consistently, (iv) and determined in accordance with international Accounting Standards (IAS).

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### PROJECT MONITORING: EVALUATIONS

- **Final Evaluation**
- CI will commission a Final Evaluation be conducted by an independent external reviewer procured by CI in accordance with terms of reference drafted by CI. CI shall ensure that the written report by such independent external reviewer be submitted directly to CI. Grantee shall submit the management response to the Final Evaluation Report within thirty (30) days of its receipt by the Grantee. CI will pay the costs of the evaluation directly to the Service Provider using grant funds from the Project Budget in Attachment 2.
- Grantee hereby expressly binds itself to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under this Agreement.



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### AUDIT REQUIREMENTS: SUB-GRANTS AND SUB-CONTRACTS

- The CI-GEF Agency reserves the right to request audits of the Executing Agency's sub-grantees and sub-contractors, and Executing Agency agrees to legally obligate such sub-grantees and sub-contractors in any sub-agreements to comply with audit requirements prescribed by CI.
- If the Financial Risk Assessment (FRA) requires an audit, or CI-GEF Agency requests one, EA can include the cost for audit(s) within the contract/grant budget.



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### OTHER MONITORING

- **Site Visits** might be conducted over the course of the project and may include the following activities:
  - Meet and interview Project Staff
  - Review Technical Activities
  - Review implementation of safeguards
  - Review financial transactions & general ledger reports
  - Review support documentation (such as operation manuals, contracts, timesheets, original receipts)
  - Ensure compliance with grant agreement and Donor Flow-down Requirements as stated in the grant agreement
  - Receive feedback on grants administration
- If a Site Visit is not possible, CI might conduct a **Desk Review** of your grant (review of financial transactions from a CI office).



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### ASSURANCES AND SAFEGUARDS

- Grantee must be a legally registered entity.
- Compliance with local laws, including anti-bribery, employment and tax laws, data protection, ethics, and protection of indigenous peoples and human subject research data.
- Compliance with US laws, including: economic sanctions, anti-terrorism and anti-money laundering laws.
- Ethics & Integrity: Review the [CI Code of Ethics](#) which requires Grantee signature.
- GEF: Environmental and Social Management Framework ([ESME](#)).



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### PAYMENT TO GOVERNMENT AND TAXES

- Grantee hereby certifies that no assistance, payments, or anything of value (monetary or non-monetary), shall be made, promised, offered to or accepted by any government employee or official (1) in contravention of any U.S. law or other applicable law (including, but not limited to the U.S. Foreign Corrupt Practices Act) or regulator; (2) **without the express consent of the government for which the employee or official works**; and (3) that it not reasonable, bona fide, and directly related to the activities funded under the grant. It is Grantee's responsibility to ensure compliance with this clause, and to maintain, and provide at CI's request, documentation demonstrating such compliance.
- **Example:** Paying for Government Employees to travel to a workshop. Include a statement in your travel grant that states the following: "By signing below, the Traveler's government employer hereby indicates authorization for the travel, any activities associated therewith as well as the provision of funding to the Traveler as described in Section 2 hereof."
- Grantee shall use its best efforts to minimize the burden of any taxes on goods and services, or the importation, manufacture, procurement or supply thereof. If Grantee is eligible to apply for refunds on taxes paid, Grantee shall do so.



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### PAYMENT TO GOVERNMENT (INTERNAL)

Travel Page: [Here](#)

Invest Grant Agreement Example



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### INTELLECTUAL PROPERTY

- The Parties agree that any non-sensitive results data collected, procured or otherwise developed under this Grant may be made publicly available by CI in accordance with the Data Use, Terms and Conditions attached hereto as Attachment 4 or terms compatible and substantially the same as such Data Use, Terms and Conditions.
- Any information gathered by Grantee, and creative work developed by Grantee under this Grant including without limitation any data, datasets, research, knowledge and all written, graphic, audio, visual and any other materials, contributions, applicable work product and production elements contained therein, whether on paper, disk, tape, digital file or any other media (the "Work"), shall remain the intellectual property of Grantee, provided however that Grantee hereby irrevocably grants to CI, and any funding sources, if applicable, a perpetual, royalty free, non-exclusive right to copy, distribute, publish, use, and promote derivative works from the Work for any purpose, in any media, and in any territory for uses consistent with CI's charitable mission.



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### ACCOUNTABILITY & GRIEVANCE MECHANISM

- CI and the GFJ Project Agency have an Accountability and Grievance Mechanism that is available to all CI grantees. Please review the Mechanism [here](#).
- Grantee rights**
- If a CI grantee, community stakeholder, or anyone else involved with a CI grant has concerns about ethical issues, fraud, or corruption related to any CI grant:
- Contact your CI Programmatic or Financial points of contact.
  - If that is not an option, or the response is unsatisfactory, report to the CI Ethics Hotline at [www.ci-ethics.org](http://www.ci-ethics.org) or its phone to a local dial-in number displayed on the site.
- Grantee responsibilities**
- Deliver to CI, at the earliest opportunity, via the ethics hotline any information you become aware of that may result in a real or perceived conflict of interest or impropriety.
  - Publicize the ethics hotline to the people involved in the project.



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### PUBLICATION & LOGO USE

- Objectives:**
- Monitor for CIIP and its funding to include CIIP-related, keep a strong brand identity.
  - Monitor CIIP in a global leader in housing environmental people's in the developing world.
  - Transfer from CIIP Agency and partners, communicate and present CIIP-related activities to donors and other stakeholders.
- Publication:** for CIIP project.
- Authorization: All Publications, reports, publicly and other public communications, funded by the CIIP project, must follow the CIIP Communication and Visibility [Policy](#).
  - Knowledge Materials, handouts or media, data or lessons learned should remain publicly available at least 12 days after project end date. Materials should be distributed to local beneficiaries/stakeholders including online platforms. The CIIP website is a resource.
  - All external communications (documenting information on CIIP-related papers, websites, newsletters, and social media) should link to the CIIP web site.
- Logos:**
- The CIIP logo should be appropriately displayed on project funded equipment, vehicles, site and publications in accordance with the CIIP Communication and Visibility Policy.
  - Use of the CIIP logo on project funded publications, mail or promotional printing, and displayed in accordance with the CIIP logo [Policy](#).
  - All other uses of the CIIP logo in the CIIP name are subject to future agreements and possibly licensing agreements.



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### AMENDMENTS

- Modifications or amendments may happen at any time after project implementation begins.
- Changes to the following areas must be reflected in an amendment to the agreement signed by CI and grantee before the change occurs:
  - Change to the objectives, target areas, methodology, or timeline of the Project
  - Change in period of performance (extensions)
  - Change to award amount (increase or reduction to funding)
  - Change in key personnel (if specified)
  - Sub-awarding to a third party (not already specified in the budget)



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### CLOSEOUT

- Close sub-grants and contracts at least two months before the end of your grant agreement with the CI-GFJ Agency.
- Assess your project activities and at least 3 months prior to the close date, so that any major closing out activities can be done by project team members/ funds. This will allow for project staff to participate in the Final Closeout and cover their costs for participation.
- Get write funding for grantee's participation in the final workshops and evaluations. Use a Travel Agreement to cover grantee's costs of participation. Please note that grantee's time may not be covered as grants may have been closed.
- CI may provide support to non-CI employees to travel to attend CI hosted meetings or participate in sub-projects of CIIP. Travel costs should be charged to the host CIIP - Non-CI Staff Travel. All travel costs include airfare, international travel, if lodging, the [Travel Support Template](#) must be used for each participant to document the travel arrangements. The grantee may cover only of local transportation costs and/or per diem, a % of the participants and the amount provided per participant can be used instead. The listing must then be signed by each individual participant, and their proof of identification must be documented (i.e. national identity card or passport etc.). All costs greater than the country's receipt threshold (i.e. HQ threshold is \$40) must be supported by a receipt.
- Provide final reports including Audit within 60 days of project closeout.



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### PROCUREMENT



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### PROCUREMENT

- Why is procurement important:
  - To demonstrate sound stewardship of donor funding
  - To ensure transparency and integrity in our purchasing activities
  - To ensure our purchases represent the best value for money for CI and the GEF = best price + maximum efficiency + maximum effectiveness of the purchase.

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### PROCUREMENT PLANNING

Procurement planning is the process of deciding what to buy, when and from what source. During the procurement planning process the procurement method is determined and the capabilities for meeting the procurement requirements are determined.

**What is a procurement plan?**

- Simple table that is linked to your budget.
- Includes items to be procured, method of procurement, projected date of procurement, required prior approvals, budgeted amount.
- All procurement equal to or greater than USA \$,000 must be approved by CI in writing prior to purchase. Items identified in the original budget are 'pre-approved'.
- Grantees will retain title(s) to all equipment purchased with Agreement funds for the duration of the Agreement. Disposition instructions to follow; note to effect specific donor requirements.
- CI GEF Agency Procurement Guidelines are available [online](#).

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### PROCUREMENT AND GRANTS PLAN

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### PROCUREMENT PLANNING

**When?**

- During the budgeting phase of the project.
- During the annual budget cycle.
- Revised when budgets are revised, adjusted when the project plan is adjusted.

**Why?**

- Allows predictability for the project team which prevents unnecessary delays in implementation.
- It is an opportunity for all stakeholders involved in the processes to meet in order to discuss particular procurement requirements.
- Allows Grantees to maximize cost efficiency which prevents waste of scarce resources, pre-determine procurement strategy.
- The need for technical expertise to develop technical specifications/Terms of Reference (TOR) and ensure compliance with donor regulations.

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### PROCUREMENT PLANNING

- Choose the correct solicitation method for the size and type of contract.
- Market approach for sourcing suppliers/goods – do you need to look in-country, outside the country, etc.
- Realistic budget estimates.
- Project-specific prior approval for any changes made on the procurement plan.
- Detailed explanation of product or service.

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### PROCUREMENT: TYPES OF SOURCING

- Free and Open Competition (Competitive)**
  - Posting RFP & RFQ on national or international websites or publications and industry websites. Allows all suppliers to bid. CI policy enforces free and open process.
- Limited Competition (Competitive)- at least 3 quotes**
  - Contracting few vendors for preformed vendor list.
  - Narrowed to only shortlisted vendors.
- Single Source Procedure**
  - Considering only one vendor. Used only under special circumstances such as continuation of work, only one qualified firm, urgency, security **highly discouraged**.
  - Rationale must be documented in writing prior to beginning the bidding process.

54

### PROCUREMENT: SOLE SOURCING

- This is not the preferred method, due to:
  - Lack of transparency.
  - Inability to verify fair pricing.
- Appropriate when:
  - Real urgency. Lack of planning does not constitute an urgent situation.
  - Security situations.
  - Tasks that present a natural continuation of previous work carried out by the firm where lack of continuity poses a risk to the work/product.
  - When there is only one qualified firm or one manufacturer for the product.
  - Link to Sole Source Template: [HHS](#)

55

### PROCUREMENT: TERMS OF REFERENCE

- Once the need for services is defined, the following information must be included in the Terms of Reference:
  - Background information on the program funding the services
  - Objective of the service
  - Very detailed description of the task/activities
  - Very detailed required reports/deliverables
  - Estimated budget
  - Period of performance
  - Minimum desired qualification requirement
  - Description of how performance will be monitored and evaluated.
  - TOR Link: [HHS](#)


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### PROCUREMENT: METHOD

- Simplified Procurement
  - Generally appropriate for standard off-the-shelf items readily available at competitive prices.
- Request for Quote (RFQ)
  - RFQ generally include a request for item/vendor, description/specifications, price and other confidential terms and conditions related to the procurement.
- Request for Proposal (RFP)
  - At a minimum, the following information should be included in the RFP:
    - RFP title, date of issue, due date/time
    - It must be publicly published for four weeks
    - Information on minimum qualifications
    - Eligibility requirement
    - Terms of reference/specification and deliverables
    - Instructions for bid submissions
    - Proposed contract type
    - General contract terms and conditions in approved CI template
    - Payment methods and milestones

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### PROCUREMENT: PROCESS



- Tier 1 (US < \$2,000): Very small purchases. No analysis or research needed.
- Tier 2 (US \$2,000 to \$4,999): Research multiple vendors and document research.
- Tier 3 (US \$5,000 to \$14,999): Document at least three price quotes as a result of phone or internet research. Publish documentation of the research process for any requests past the three previous. For internet search, you must obtain written CI/CI/ Prior Approval before Purchasing.
- Tier 4 (US \$15,000 to \$24,999): Solicitation at least three written quotes (RFQ) to be submitted to agency before Purchasing.
- Tier 5 (US \$25,000 to \$24,000): Write and publish a Request for Proposal and make a minimum of three proposal packages that must include detailed pricing and rationale explanation. You must obtain written CI/CI/ Prior Approval before Purchasing.
- Tier 6 (greater than \$25,000): Write and publish a Request for Proposal and make a minimum of three proposal packages that must include detailed pricing and rationale explanation. It must be open to external bidders. You must obtain written CI/CI/ Prior Approval before Purchasing.
- Disposing Agency must maintain and retain records documenting the procurement process for 3 years after the project implementation grant expiration date.

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### PROCUREMENT: PROCESS



- Best Practices in Solicitation
  - All vendors receive the exact same amount of time to prepare their bid/quote/proposal. This ensures that all vendors have the same amount of time to prepare their quotation/bid/proposal.
  - All vendors receive exactly the same information on the contract/equipment/quote that CI will purchase. This ensures that no single vendor has an unfair advantage over another vendor.
  - All vendors receive adequate time to prepare their bid/quote/proposal. This ensures the best pricing for CI and promotes fair competition.

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### PROCUREMENT: PROCESS



- Best Practices in Evaluation and Selection
  - For most purchases, evaluation and selection is documented with a selection justification memo with price quotes attached.
  - Large purchases requiring an RFQ or RFP or highly technical equipment, assemble an evaluation panel (three people) and a bid comparison matrix (scoring sheet).
  - Segregation of duties in the selection process is important to reduce waste and prevent abuse.
  - If there is a Conflict of Interest (real or perceived), you must contact yours or CI's General Counsel's Office (GCO).

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### PROCUREMENT: QUOTATION ANALYSIS

Review quotations that have a value that is above the maximum price. The scope needs to be reviewed and a contract signed by members of the Procurement Unit. [Link](#)

Page 1

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### PROCUREMENT: DOCUMENTATION FOR PRIOR APPROVAL

- Terms of Reference if developed, or justification for needs.
- Research (getting shots from the research on the internet to compare costs) or Solicitation documentation including email communication with vendors or publication. **Attach all that are applicable.**
- Complete set of proposals including financial and technical (applicable to when posting RFQ or RFP).
- Evaluation/scoring sheet from the panel. **Please add each individual scoring sheet signed by the reviewer as well as the summary (total scores by all members of the panel).**
- Selection Memo/Procurement Memo justifying the process.
- Draft contract/agreement/purchase order for the buying the service/goods with CI-GSP flow down.

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### PROCUREMENT: PROCESS

#### Best Practices in Contracting

- Contracts should include reimbursable expenses. Set a Ceiling Amount, specify the types of reimbursable expenses that will be permitted. You don't have to pay the entire amount but set it high enough that you won't have to amend it for a minor expense. The consultant fee plus the reimbursables is the total contract value.
- Should not pay an advance to a consultant unless they need cash up front for something like organizing a workshop.** Otherwise, for intellectual property contracts, it's best not to advance anything. **Should hold back 20% until final deliverables is accepted.**

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### PROCUREMENT: PROCESS

#### Best Practices in Close Down

- All goods or services have been received and accepted and meet contract specifications.
- Final invoice has been received and paid including all allowable reimbursable expenses.
- All documentation including, but not limited to, donor prior approvals, deliverables, invoices, receipts, acceptance notes are in the contract file on the CNP (for CI only) or Grants System.
- All data including final contract amount and period of performance dates are accurately reflected on the CNP (for CI only) or Grants System.
- All final donor obligations are satisfied.

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## DUE DILIGENCE OF SUBS

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### PROCUREMENT/GRANTS: SECURITY SCREENING

- Prior to contracting or sub-awarding any funds from Conservation International, grantees must screen the sub-grantee or sub-contract and share findings as part of the supporting documentation for grant agreements or contracts, which will be subject to review by CI and as part of compliance during spot checks, audits and financial site visits.
- At a minimum, Conservation International grantees must verify the legal identity of sub-grantees and services providers and screen those verified names, including the names of members of the respective governing bodies and any project staff, against all of the following threat lists:
  - [U.S. Department of the Treasury - Specially Designated Nationals and Blocked Persons \(SDN\) List](#)
  - [United Nations Security Council Consolidated List](#)
  - [European Union Sanctions List](#)

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### SCREENING INSTRUCTIONS

- [U.S. Department of the Treasury – Specially Designated Nationals and Blocked Persons List](#) – [click link](#)
- **Website:** Ensure that the first icon, "Human Readable SDN List" has a blue background, as indicated below. Click on the link titled "Complete Specially Designated Nationals List (in TEXT Format)", as in the red box below.



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### SCREENING INSTRUCTIONS

- **Search:** Once the resulting list appears, hold "Ctrl" and "F" on your keyboard to do a search. For each employee involved in Conservation International, and for each grantee and consultant involved in the grant, enter partial or full names (for grantees and consultants run searches on both the organization name and the names of the individuals involved in the grant or consultancy).



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### SCREENING INSTRUCTIONS

- **Document:** Record, in an existing system your organization may have, or in a separate document, the names of the organizations and individuals you screened, the name of the person who performed the screening, the date the names screened were first posted on the list (such as a screenshot of the screening results page), and the date the screening was performed. Save the documentation per the record retention requirements in the C-GEF Project Agency grant agreement and in accordance with the laws in your own jurisdiction, as Conservation International may ask to see it.
- **Handling "hits":** If a name you search appears on the list (a "hit"), ensure the names are exactly the same and/or use other already known information to determine whether the name you screened is the same as the entry on the list. If you confirm that the names are the same or you are unsure, inform the C-GEF Project Agency who will discuss with Conservation International, Grants and Contracts Unit. Conservation International funds may not be used to support individuals or organizations who appear on the list, so do not pay anyone appearing on the list without first receiving clearance from Conservation International.
- **Notes:** This list is constantly updated, so searches must be performed from the website (rather than saving the PDF or Text file locally and running the searches from the saved files).

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### SCREENING INSTRUCTIONS

- [United Nations Security Council Consolidated List](#) – [click link](#)
- **Website/Search:** Once the website appears (as shown below), hold "Ctrl" and "F" on your keyboard to do a search. For each grantee and consultant involved in the grant, enter partial or full names (for grantees and consultants run searches on both the organization name and the names of the individuals involved in the grant or consultancy).



70

### SCREENING INSTRUCTIONS

- **Document:** Record, in an existing system your organization may have, or in a separate document, the names of the organizations and individuals you screened, the name of the person who performed the screening, the date the names screened were first posted on the list (such as a screenshot of the screening results page), and the date the screening was performed. Save the documentation per the record retention requirements in the C-GEF Project Agency grant agreement and in accordance with the laws in your own jurisdiction, as Conservation International may ask to see it.
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- **Notes:** This is the HTML list, there are also PDFs that are easily searchable, but they are constantly updated, so there is no permanent link to a PDF, only the HTML. As such, searches must be performed from the website (rather than saving the PDF or HTML file locally and running the searches from the saved files).

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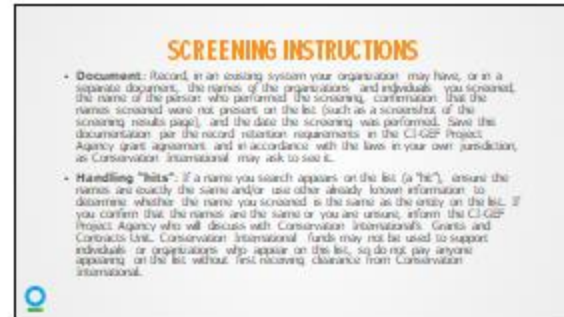
### SCREENING INSTRUCTIONS

- [European Union Sanctions List](#) – [click link](#)
- **Search:** Once the website appears (as shown on the next slide), scroll down to the Search bar to enter a name then hit "Enter" on your keyboard, as shown in the red box. For each grantee and consultant involved in Conservation International, and for each grantee and consultant involved in the grant, enter partial or full names (for grantees and consultants run searches on both the organization name and the names of the individuals involved in the grant or consultancy).

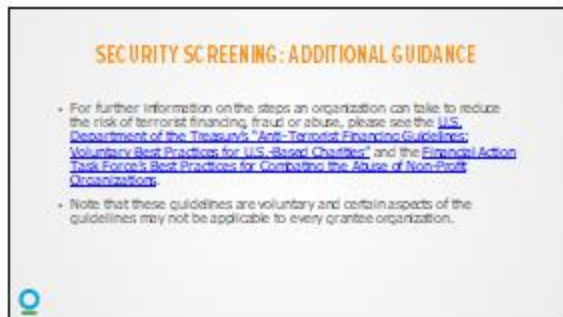
72



73



74



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### CI'S CODE OF ETHICS


- Integrity:** Act in good faith, responsibly, with due care, competence and diligence and maintain the highest professional standards at all times.
- Comply with CI policies** as well as all applicable laws, rules and regulations, domestic and international, in every country where CI works.
- Reflect actual expenses** or work performed in expense reports, timesheets, and other records.
- Never engage in any of the following acts:** falsification of business documents, theft, embezzlement, diversion of funds, bribery, or fraud.
- Transparency:** Perform duties, exercise authority and use CI resources and assets in the interest of the organization and never for personal benefit.
- Avoid conflicts of interest** and not allow independent judgment to be compromised.
- Not accept gifts or favors** in excess of \$150 from vendors, consultants or grantees.



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### CI'S CODE OF ETHICS


- Accountability:** Disclose to a supervisor and the General Counsel's Office, at the earliest opportunity, any information they have or become aware of that may result in a real or perceived conflict of interest or improperly.
- Exercise responsible stewardship** over CI's assets and resources; spend funds wisely, in the best interests of CI and in furtherance of its mission. Adhere to and respect the wishes of its donors.
- Manage programs, activities, staff and operations** in a professionally sound manner, with knowledge and wisdom, and with a goal of increasing overall organizational performance.
- Mutual Respect and Collaboration:** Assist its partners in building the necessary capacity to carry out conservation programs efficiently and effectively and to manage funds in a fiscally and operationally prudent manner.
- Create constructive relationships** with grant-seekers and other partners based on mutual respect and shared goals by communicating clearly and timely and respecting our partners' expertise in their fields of knowledge.
- Engage with indigenous peoples and local communities** in which CI works in a positive and constructive manner that respects the culture, laws, and practices of those communities, with due regard for the right of free, prior and informed consent.
- Confidentiality:** Hold all donor confidential information obtained during the course of their work at CI.
- Protect confidential relationships** between CI and its grantees, donors, and vendors.



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### PROHIBITED PRACTICES

- Prohibited Practices pose a financial risk, impact not just organizations but also involved individuals, may result in personal liability, and negatively impact the reputation of an organization and involved individuals.
- The nine Prohibited Practices on which CI focuses are as follows:
  - Corruption
  - Fraud
  - Abuse
  - Undisclosed conflicts of interest
  - Collusion
  - Coercion
  - Obstruction
  - Money Laundering
  - Terrorist Financing




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### PROHIBITED PRACTICES

#### 1. CORRUPTION

- "Corruption" means the offering, giving, receiving, or soliciting, directly or indirectly, anything of value (including but not limited to gifts, gratuities, favors, invitations, and benefits of any kind) to influence improperly the actions of another.
- Examples: honoraria, gifts, travel expenses, per diem, offer of internships to family members, donations with intent to improperly influence.
- Protect against corruption:
  - Is the payment for a bona fide business purpose?
  - Is the payment customary and adequate?
  - Avoid direct payments to government officials or employees.
- Red flag:** Facilitation payments; unjustified sole sourcing; excessive direct per diem or honoraria payments; inadequate financial reporting.



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### PROHIBITED PRACTICES

#### 2. FRAUD

- "Fraud" means any act or omission, including concealment, and attempts or attempts to commit, which is intended to deceive or defraud.
- Examples: forged and falsification; for falsify or withhold records or data; false bank withdrawal claims; multiple misstatements; claims, check kiting; grant misreporting; false claims; or data rigging.
- Prevent by watching for red flags including:
  - Short intakes
  - Lack of segregation of duties - same staff member enters invoices, makes payments and does reconciliation
  - Change in style of financial management - staff
  - Reporting of budgeted vs. actual expenses
  - Accounting staff never takes vacation or sick leave or only takes short leave; vacation combine
  - Unexplained or inadequately supported expenses
  - Escalation between paper work and online work
- Prevent by ensuring strong internal controls are in place, including separation of duties, between staff that handle bank, employee disbursements, disbursements checks, disbursements cash and payments, reliability of financial oversight (bank accounts, checks/new subscriptions), paper management oversight.




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### PROHIBITED PRACTICES

#### 3. ABUSE

- "Abuse" means theft, misappropriation, waste or improper use of property or assets, either committed intentionally or through reckless disregard.
- Examples: petty cash theft; an employee pays for a hotel in advance, the hotel gives a cash refund, and the employee keeps the cash for their personal use.



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**PROHIBITED PRACTICES**  
4. CONFLICTS OF INTEREST

- "Conflict of interest" can be defined as a situation that undermines, has the appearance of undermining, or potential to undermine the impartiality of an employee because of the possibility of a clash between the employee's self-interest and professional interest.
- A Conflict of Interest by itself is not a prohibited practice, rather the act of not telling CI and mitigating the conflict makes it a prohibited practice.
- Negative consequences of **undisclosed** conflicts of interest include negative morale due to nepotism/favoritism; negative public reputation for NGO; legal/tax consequences.



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**PROHIBITED PRACTICES**  
4. CONFLICTS OF INTEREST

- Grant Funds (including any interest thereon) shall not be expended for payments that are, or give the appearance of, a conflict of interest. A conflict of interest is defined as a transaction in which an employee's personal or financial interests conflict or appear to conflict with his official responsibility.
- Grantee is responsible for the identification and disclosure of any actual or potential conflicts of interest to CI, and shall suggest mitigation measures in accordance with Grantee's own conflict of interest policy. Such mitigation measures are subject to approval by CI, and Grantee is required to follow any mitigation instructions provided by CI. Grantee hereby expressly binds itself to include language substantially reflecting the terms of this provision in all sub-contracts and sub-awards issued under this Agreement.



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**PROHIBITED PRACTICES**  
4. CONFLICTS OF INTEREST

- Link to video: [HERE](#)




WHAT IS A  
**CONFLICT OF INTEREST**



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**PROHIBITED PRACTICES**  
5. COLLUSION

- "Collusion" means an arrangement between two or more parties designed to achieve an improper purpose, including to improperly influence the actions of another party.
- Examples: arrangement for price fixing and bid rigging in procurement arrangements where we are implementing agency.
- **Red flags:** Not many competing vendors and two proposals contain similar writing styles, typos, font etc.



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**PROHIBITED PRACTICES**  
6. COERCION


- "Coercion" means impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to improperly influence the actions of that party.
- Examples: improper use of economic / administrative power to control the actions of another.
- **Red flags:** Under-paid or unpaid day laborers; inhumane conditions; recruiter holds worker passports.



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**PROHIBITED PRACTICES**  
7. OBSTRUCTION

- "Obstruction" includes materially impeding donor's contractual rights of audit or access to information.
- Examples: malicious destruction of financial records; lying to auditors.



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### PROHIBITED PRACTICES

#### 8. MONEY LAUNDERING

- "Money Laundering" refers to: the conversion or transfer of property, knowing that such property is the proceeds of crime.
- Examples: Accepting drug funds knowing their illicit source and issuing a tax receipt.



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### PROHIBITED PRACTICES

#### 9. TERRORIST FINANCING

- "Terrorist Financing" means providing in-kind, financial support or technical assistance for the purpose of, or in the knowledge that they are to be used to carry out terrorist acts.
- **Red flags:** Request to wire funds through non-official banking channels.



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### REPORTING ILLEGAL OR UNETHICAL CONDUCT STATEMENT

- Reports should be submitted to CI's Ethics Hotline. This resource provides employees, grantees, and other partners and beneficiaries with a globally accessible, multilingual reporting tool that gives the ability to report incidents anonymously. It is available 24 hours a day, seven days a week, by logging on to [www.ci.ethicspoint.com](http://www.ci.ethicspoint.com) or by dialing a toll-free number from anywhere in the world where CI works that can be found on the website.
- No employee or any other person will be discharged, threatened, or discriminated against in any manner for reporting in good faith what they perceive to be wrongdoing, violations of law, or unethical conduct.
- Retaliation against any person who submitted a claim in good faith is subject to disciplinary action up to and including termination for cause and grantees or partners may be disqualified from submitting future funding proposals to CI.



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CONSERVATION  
INTERNATIONAL  
CI-GEF Project Agency



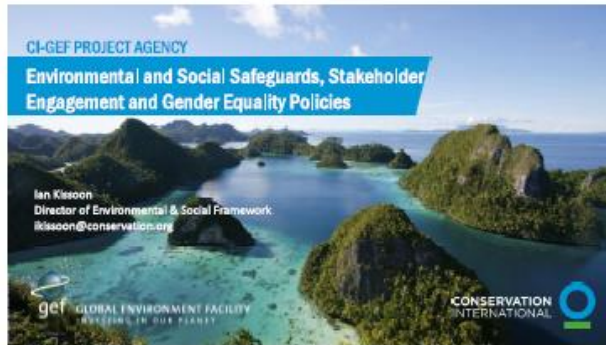
Questions?

CI-GEF Project Link: [Trends Earth](#)

THANK YOU!

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Environmental and Social Safeguards



### Policy on Environmental and Social Safeguards

**Purpose:**

- Ensure that potential adverse environmental and social impacts of the project are:
  - Avoided
  - Minimized
  - Mitigated/Compensated
- Provide safeguard recommendations & measures
- Monitor and evaluate safeguard implementation throughout the project cycle




### Minimum Standard 1: ESA, Management and Monitoring

**Purpose:**

- To identify and assess the potential environmental and social impacts of a proposed project;
- To evaluate alternatives; and
- To design appropriate mitigation, management and monitoring measures,

- Climate Change and Disaster Risks
- Disadvantaged or Vulnerable Individuals or Groups
- Disability Inclusion
- Adverse Gender-Related Impacts, Including Gender-Based Violence and Sexual Exploitation and Abuse



**Minimum Standard 2: Accountability, Grievance & Conflict Resolution**

**Purpose:**

- To ensure enforcement of CI's LSMF policies and provide for the receipt of and timely response to resolution of complaints from parties affected by its CI-GEF projects.

**Director of Compliance**  
Conservation International  
2011 Crystal Drive, Suite 800  
Arlington, VA 22202, USA

**CI Ethics Hotline**  
<https://secure.ethicspoint.com>



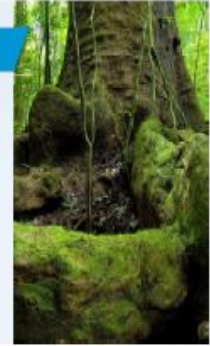
**Minimum Standard 3: Biodiversity Conservation and Sustainable Management of Living Natural Resources**

**Purpose:**

- To avoid, or facilitate, any significant loss or degradation and to support the sustainable management, protection, conservation, maintenance, and rehabilitation of natural habitats and their associated biodiversity and ecosystem functions.

**Natural habitats:** Areas of land/water unmodified by human activity and inhabited largely by native species

**Critical natural habitats:** Habitats essential for biodiversity conservation and the well-being of people



**Minimum Standard 4: Restrictions on Land Use and Involuntary Resettlement**

**Purpose:**

- To minimize, mitigate and/or compensate the potential adverse socioeconomic and cultural impacts of resettlement processes and restrictions of access to natural resources that some CI-GEF projects might create.



**Minimum Standard 5: Indigenous Peoples**

**Purpose:**

- To **respect** indigenous peoples' rights to Free, Prior, and Informed Consent (FPIC)
- To ensure indigenous people are **involved** in the project design and receive agreed-upon **benefits**
- To **avoid** or address potential **adverse impacts** through a participatory and consultative approach
- To ensure the implementation is **monitored**



**Minimum Standard 6: Cultural Heritage**

**Purpose:**

- To ensure that physical cultural resources, both tangible and intangible, are appropriately preserved and their destruction or damage is appropriately avoided.

**Physical cultural resources** are movable or immovable objects, sites, structures, and natural features and landscapes that have archeological, paleontological, historical, architectural, religious, aesthetic, sacred sites or other cultural significance.



**Minimum Standard 7: Resource Efficiency and Pollution Prevention**

**Purpose:**

- To ensure that the environmental and health risks associated with pesticide use are minimized and managed, and that safe, effective, and environmentally sound pest management is promoted and supported.
- To promote the efficient use of energy, water and other resources and material inputs so as to avoid significant adverse impacts on communities, other water users, and the environment.
- To prevent the generation of wastes and effluents, and emissions of short- and long-lived climate pollutants.



**Minimum Standard 8: Labor and Working Conditions**

**Purpose:**

To ensure that Workers:

- Do not suffer adverse impacts
- Fundamental rights, consistent with the International Labor Organization's (ILO) are respected and protected
- Have a safe and healthy working environment



**Minimum Standard 9: Community Health, Safety and Security**

**Purpose:**

- To ensure the health, safety and security of project-affected communities
- To ensure that projects or programs do not carry out the construction or rehabilitation of Large or Complex Dams.



**Policy on Stakeholder Engagement**

**Purpose:**

- To promote inclusive and meaningful participation of stakeholders in project activities
- To ensure that stakeholder consultations continue throughout project implementation, monitoring, and evaluation



**Policy on Stakeholder Engagement**

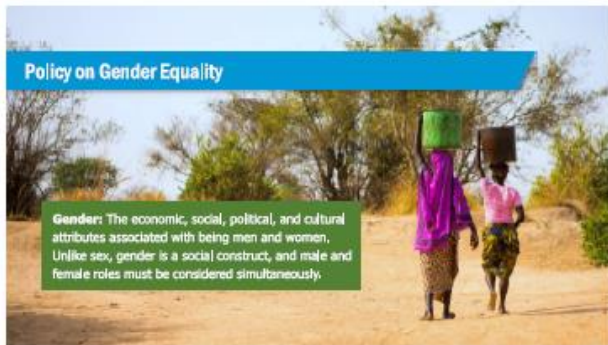
**Requirements:**

- Conduct stakeholder analysis
- Develop and implement a Stakeholder Engagement Plan (SEP)
- Maintain and document stakeholder engagement throughout the implementation of the project
- Allocate adequate resources to promote effective stakeholder engagement throughout the project



**Policy on Gender Equality**

**Gender:** The economic, social, political, and cultural attributes associated with being men and women. Unlike sex, gender is a social construct, and male and female roles must be considered simultaneously.



**Policy on Gender Equality**

**Purpose:**

To ensure equal opportunities for women and men to participate in, contribute to and benefit from project activities.





**Policy on Gender Equality**

**Requirements:**

- Conduct a **gender analysis/assessment**
- Develop and implement a **Gender Mainstreaming Plan (GMP)**
- Set targets and collect **sex-disaggregated data** and information on gender.



**CI-GEF's Safeguard Process**

- **PPG Phase**
  - Screen project to identify policies triggered
  - Analyze screening, assign categorization and develop safeguard plans
  - Incorporate safeguard plans into ProDoc
- **Implementation Phase**
  - Prepare annual workplans and implement approved safeguard plans
  - Monitor progress on quarterly and annual basis, including supervision visits

**Safeguard Process**

Screening



**Safeguard Process**



**Safeguard Process**

Safeguard Screening will categorize the project as:

Category A	Category B	Category C
Significant adverse impacts that are sensitive or unprecedented	Adverse impacts that are localized, reversible, and mitigable	Minimal or no adverse impacts
Requires full ESMP	May require limited ESMP	Requires project-level safeguard plans (No ESMP required)

The CI-GEF Project Agency must review and approve all ESMP and safeguard plans.



**Summary of Responsibilities**

CI-GEF Agency	Executing Agency
Apply policies	Provide information for screening
Screen projects	Develop and disclose safeguard plans
Approve plans	Implement plans
Monitor compliance	Report progress
Disclose plans via CI website	Apply adaptive measures



Gender Mainstreaming

**Gender Mainstreaming for CI-GEF Projects**

Ian Kisoorn  
Director of Environmental & Social Framework  
ikisoorn@conservation.org

gef GLOBAL ENVIRONMENT FUND  
MULTILATERAL DEVELOPMENT BANK

CONSERVATION INTERNATIONAL

**Purpose of training**

This workshop has two key objectives:

- Understand **Why**  
Gender norms affect conservation
- Understand **How**  
Gender can be mainstreamed into your project

**What is gender?**

*Gender: The economic, social, political, and cultural attributes associated with being men and women. Unlike sex, gender is a social construct, and male and female roles must be considered simultaneously.*

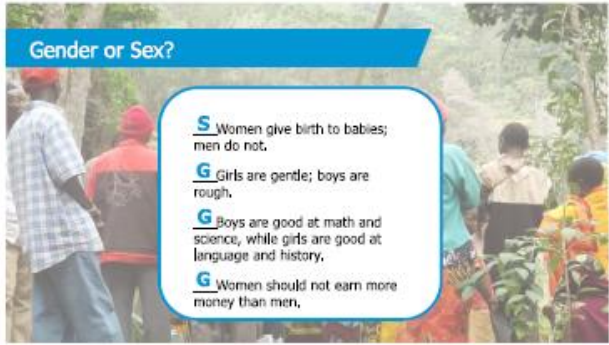
**Gender versus Sex**

- Sex:** Biological differences between males and females.
- Gender:** Socially-constructed differences between males and females.

**Gender or Sex?**

- G** Boys shouldn't cry.
- S** Boys' voices break at puberty; girls' do not.
- G** Blue is a color for boys, and pink is a color for girls.
- G** Women and girls gather fuelwood and water for the household.

### Gender or Sex?



- S** Women give birth to babies; men do not.
- G** Girls are gentle; boys are rough.
- G** Boys are good at math and science, while girls are good at language and history.
- G** Women should not earn more money than men.

### Gender Roles Tree




### Case Studies in Gender



- Conservation project to transition loggers to vanilla farmers
- Conservation project to repair water mill

### The Importance of Gender in Conservation



- Men and women have unique **knowledge** and **expertise** to contribute to these projects
- Conservation projects affect **both men and women**, and in different ways.
- Including stakeholders is a **fundamental right** and a way to **create buy-in**, which improves outcomes.
- Economic growth** requires all jobs (often gender-specific) to be considered.

### The Importance of Gender in Conservation



- Men and women have unique **knowledge** and **expertise** to contribute to these projects
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### Why Consider Gender So Carefully?

#### Gender Mainstreaming:

- Allows for **more successful** projects with greater social impact and fewer adverse effects.
- Is necessary for ethical conservation; it is a **human right** to have a say in one's livelihood.
- Is Conservation International and Global Environment Facility **policy**.
- Is what **funders** (including GEF) request – and their donations make these projects possible.



### Policy of Gender Mainstreaming

CI-GEF requires **gender to be mainstreamed** into all aspects of the project operations.

**Gender Mainstreaming:** Incorporating gender into the policies, strategies, administrative functions, and operations of an organization/project.



### Barriers to Getting Involved

What are some **barriers** that make it difficult for more people to get involved in CI-GEF projects?



### Barriers to Getting Involved

What are ways to **reduce these barriers** and get more people involved in CI-GEF projects?

- Hold **separate meetings** for groups who do not interact comfortably
- Hold meetings at **various hours**, at workplaces, in social areas
- Publicize meetings** more thoroughly, and emphasize the benefits of getting involved
- Consider **transportation, child care**



### Mainstreaming Gender in your Project

**EXAMPLE 1** How could the following minimum indicator be revised to ensure that both genders will be involved?

**Activity:**

Train 50 individuals in conservation and sustainable use of biodiversity and ecosystem services.

### Mainstreaming Gender in your Project

**EXAMPLE 1** How could the following minimum indicator be revised to ensure that both genders will be involved?

**Activity:**

Train **25 men and 25 women** in conservation and sustainable use of biodiversity and ecosystem services.

### Mainstreaming Gender in your Project

**EXAMPLE 2** How could the following stakeholder engagement plan be revised to ensure both genders are involved?

**Output:**

Stakeholders in project sites surveyed on governance.

### Mainstreaming Gender in your Project

**EXAMPLE 2** How could the following stakeholder engagement plan be revised to ensure both genders are involved?

**Output:**

**Men and women** in project sites surveyed on governance.

### Mainstreaming Gender in your Project

**EXAMPLE 3** How could the following stakeholder engagement plan be revised to ensure both genders are involved?

**Indicator:**

5 grants awarded to a civil society organizations to replicate best practices for mainstreaming biodiversity by the end of year two.

### Mainstreaming Gender in your Project

**EXAMPLE 3** How could the following stakeholder engagement plan be revised to ensure both genders are involved?

**Indicator:**

5 grants awarded to a civil society organizations, **including one women's group**, to replicate best practices for mainstreaming biodiversity by the end of year two.



**Excerpts from the GMP:**

- Women's roles in developing countries are inherently tied to land change and management through fuel wood, water, fodder, and non-timber forest product collection where degradation greatly impacts food production.
- Studies show that greater adoption of technologies occur when women can interact with female agricultural officers, yet only 15% of agricultural extension officers are female.
- By reducing gender disparity, female farmers can increase yields by up to 20-30% and at times exceed male farmer's productivity potential by increasing total agricultural output in developing countries by 2.5-4% (Agarwal, S., 2015. Food security, productivity and gender inequality. In: Herring, R.J. (ed.) The Oxford Handbook of Food, Politics and Society. Oxford University Press, Oxford: 273-301).
- Estimates show that the number of hungry people would decrease by 12-17%, or nearly 100-150 million people, if gender gaps in agriculture are closed.
- Access to technology and infrastructure can also lead to time savings, essential for increasing the agency of women in rural areas.
- There are, however, positive trends in use of smartphone technology that may further decrease the disparity in access of information between men and women.
- In sub-Saharan Africa, farmers are using smartphones to better understand climatic patterns and market access to plan their planting, harvesting and selling of crops. Mobile devices are decreasing the gap among small- and large-holders of agricultural land. Many argue that access to this technology still limits women, thus exacerbating gender equality within rural subsistence farmers.

**COMPONENT 2:** Understanding the socio-environmental interactions between drought, land degradation, and poverty to support development of monitoring frameworks for UNCCD strategic objectives 2 and 3

**Outcome 2.1.1:** Improved understanding of the interactions between land degradation, drought, and socioeconomic factors as they contribute to the development of vulnerable communities

• **Output 2.1.3 Activity 1:**  
Develop a synthesis report on global socioeconomic data sets to assess progress on SD2 and SD3 such as those from Integrated Public Use Microdata Series (IPUMS) International, EMDAT International database, the Demographic and Health Surveys (DHS) while allowing, to the extent possible, for the use of other national-level census or other data.

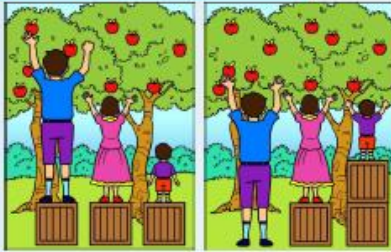
**COMPONENT 3:** Support planning and monitoring of land degradation neutrality (LDN) priorities from field to national scales

**Outcome 3.1.1:** Pilot testing and capacity building completed

**Output 3.3.2 Activity 2:**  
Identify and engage key local stakeholders in target regions for participation on pilot testing activities



### Allocating Resources



### Monitoring and Reporting Gender Consideration

Gender mainstreaming can be monitored using indicators such as:

- Number of men and women who **participated** in project activities
- Number of men and women who **received benefits** from the project
- Stakeholder response through **interviews and feedback**



### Summary: Gender and Conservation

We discussed two key objectives to move forward with mainstreaming gender in CI-GEF projects:

#### Why

Genders have unique insights to offer  
Projects should benefit all involved  
Having a say in one's wellbeing is a human right  
Facilitates economic growth

#### How

Plan to involve both men and women  
Make community involvement convenient  
Monitor gender involvement



CI-GEF PROJECT AGENCY  
CI-GEF@conservation.org

**TRENDS.EARTH**  
tracking land change



UC SANTA BARBARA  
Earth Science



Finance and Grants Management





1

### TOOLS4LDN

- Period of performance: September 5, 2019 – May 31, 2022
- Last 6 months of project to conduct external technical evaluation – required by GF
- Total budget for the project: \$3,000,000

Organization	\$	%
CI	\$1,400,000	47%
USP	\$900,000	30%
UCS/LandPKS	\$180,000	6%
Urb. of Bam/WOCAT	\$520,000	17%

- Reporting:
  - Programmatic and financial in a quarterly basis
  - Cash projection (9 months)

2



3

### CONTENT

- Planning for Success
- CI Agreement Overview
- Cost-reimbursable grant and acceptable use of funds
- Payment Terms
- Reporting Requirements & Templates
- Monitoring and Site Visits
- Accountability and Grievance Mechanism
- Publication and Logo Use
- Amendments

4

### PLAN FOR SUCCESS

<b>Plan</b>	Plan ahead for reporting deadlines, procurement, <b>401(k)</b>
<b>Organize</b>	Organize your hardcopy/report and electronic files to track payments received, reports and other documents you will need to keep under the grant and the "Recordkeeping" clause of your agreement.
<b>Notify</b>	Notify us when there's a change in staff, need for budget amends, need for procurement, and for any prior approvals.
<b>Inform</b>	Keep us informed about successes and challenges with your project.

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### CI GRANT AGREEMENT OVERVIEW

- Grantees Period of Performance:
  - (2 years – to be confirmed: October, 2019 – September, 2021)
- Contacts:

Organization	Component	Technical Lead	Financial Lead
USP	CI	David Lopez-Ceballos	Luis Olmos
UCS/LandPKS	CI	Jeff Priebe and Laura Staff	TBD
Urb. of Bam/WOCAT	CI	Priscilla Lopez	Stefanie Priebe
CI	RI, CI, OI, OI, and POC	Rebecca Gonzalez-Ruiz	Stefanie Gonzalez-Ruiz

- Project Co-Financing: \$397,700 (University of Bam \$116,000 and CI \$281,700)

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### COST REIMBURSABLE GRANT

- This grant is "cost reimbursable", meaning we pay for actual costs incurred (up to the total amount specified in the grant agreement). Grant funds must be used only for project activities.
- Only expenditures for reasonable, approved, and documented costs as identified in the approved proposal and budget are allowable. Disallowed costs must be reimbursed to CI.
- Unless otherwise specified, these terms must flow down to any sub-grants or sub-contracts made with Project funds.
- Unspent funds after end of grant must be returned to CI.



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### USE OF FUNDS

- Funds **can** be:
  - Reallocated within the budget up to 10% of the grant total.
- Funds **cannot** be:
  - Used for expenses incurred prior to the start date or after the end date.
  - Used for propaganda, to influence legislation or public election.
  - Used on expenses that are or give the appearance of a conflict of interest.
  - Promised or offered to government employees or officials.



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### PAYMENT TERMS

- Made by wire transfer to Grantee's bank account
- First advance based on an initial, reasonable and approved cashflow projection
- Subsequent advances based on actual (approved) expenditures and projections and approval of financial and technical reports
- Final payment of 10% may be released after all reports have been submitted and approved



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### REPORTING REQUIREMENTS

#### PROGRESS REPORTS AND FINANCIALS

#### OTHER

- Progress Reports and financial reports: **Quarterly**
  - October 31<sup>st</sup>
  - January 31<sup>st</sup>
  - April 30<sup>th</sup>
  - July 31<sup>st</sup>
- Final Project Report - 60 days after end of grant
- Audit- If required



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### FINANCIAL REPORTING TEMPLATE

Single Currency					Dual Currency				
Account	Actual	Budget	Variance	Comments	Account	Actual	Budget	Variance	Comments
10000000					10000000				
10000001					10000001				
10000002					10000002				
10000003					10000003				
10000004					10000004				
10000005					10000005				
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10000007					10000007				
10000008					10000008				
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### OTHER MONITORING

- **Site Visits** might be conducted over the course of the project
- If a Site Visit is not possible, CI might conduct a **Desk Review** of your grant (review of financial transactions from a CI office).



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### ACCOUNTABILITY & GRIEVANCE MECHANISM

CI (and the GEF Project Agency) have an Accountability and Grievance Mechanism that is available to all CI grantees. Please review the Mechanism [Guidance](#).

**Grievance rights**

If a CI grantee, community stakeholder, or anyone else involved with a CI grant has concerns about ethical issues, fraud, or corruption related to any CI grant:

- 1) Contact your CI Programmatic or Financial points of contact
- 2) If that is not an option, or the response is unsatisfactory, report to the CI Ethics Hotline at [www.ci.ethicspoint.org](http://www.ci.ethicspoint.org) or via phone to a local dial-in number displayed on the site.

**Grievance responsibilities**

- 1) Decline to CI, at the earliest opportunity, via the ethics hotline any information you become aware of that may result in a real or perceived conflict of interest or impropriety
- 2) Publish the ethics hotline to the people involved in the project



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### PUBLICATION & LOGO USE

[Publication: If required by donors, e.g., GEF:

- Acknowledgment: All Publications, reports, publicity and other public communications funded by the GEF project, must follow the GEF Communication and Visibility [Policy](#).
- Knowledge (Historical, Non-genetic) results, data or lessons learned should be made publicly available as soon as possible after project end date. Materials should be distributed to local beneficiaries/stakeholders and using online platforms (the CI-GEF website at a minimum.)

**Logos:**


- [The GEF logo should be appropriately displayed on project funded equipment, vehicles, site and publications in accordance with the GEF Communication and Visibility Policy.]
- Use of the CI logo in project funded publications must be pre-approved in writing, and displayed in accordance with the CI Logo Use [Guidance](#).
- All other uses of the CI (or GEF) logo, or the CI name are subject to further approval and possibly learning agreements.



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### AMENDMENTS

- Modifications or amendments may happen at any time after project implementation begins.
- Changes to the following areas must be reflected in an amendment to the agreement, signed by CI and grantees, before the change occurs:
  - o Change in scope or objectives
  - o Change in period of performance (extensions)
  - o Change to award amount (increase or reduction to funding)
  - o Transfer of funds among direct cost line items of 10% less item (or % as permitted by the donor)
  - o Change in key personnel (if specified)
  - o Sub-awarding to a third party (not already specified in the budget)



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Grievance Mechanism, Gender Mainstreaming Plan, Stakeholder Engagement Plan and Website



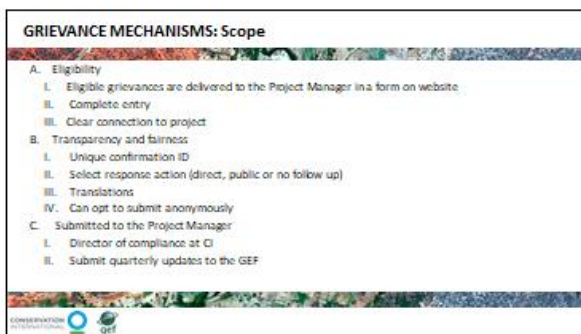
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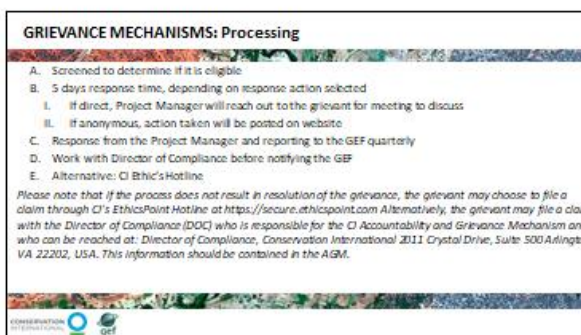
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### GRIEVANCE MECHANISMS: Documentation

Documentation

- Grievance form online
- All grievances documented by Project Manager
- Ineligible submissions will not be considered, all others will be documented and stored in a secure location for the duration of the project

Documentation

- Progress towards implementation of grievance mechanism reported quarterly
- Annual reporting on targets

Indicator	Baseline		Target	
	0	0	0	0
1. Number of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism				
2. Percentage of conflict and complaint cases reported to the project's Accountability and Grievance Mechanism that have been resolved			100%	100%

7

### OVERVIEW

- Grievance Mechanisms
- Gender Mainstreaming Plan
- Stakeholder Safeguards
- Knowledge Management with Sharepoint

8

### GENDER MAINSTREAMING PLAN

Minimum indicators to be monitored throughout implementation:

- Number of men and women who participated in project activities (e.g. meetings, workshops, consultations). Baseline: 10 women/ 10 men Target: 25 women/25 men
- Number of men and women who received benefits (e.g. employment, income generating activities, training, access to natural resources, land tenure or resource rights, equipment, leadership roles) from the project. Baseline: 5 women/ 5 men Target: 20 women/ 20 men
- Number of strategies, plans (e.g. management plans and land use plans) and policies derived from the project that include gender considerations (this indicator applies to relevant projects). Baseline: 1 Target: 2

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### OVERVIEW

- Grievance Mechanisms
- Gender Mainstreaming Plan
- Stakeholder Safeguards
- Knowledge Management with Sharepoint

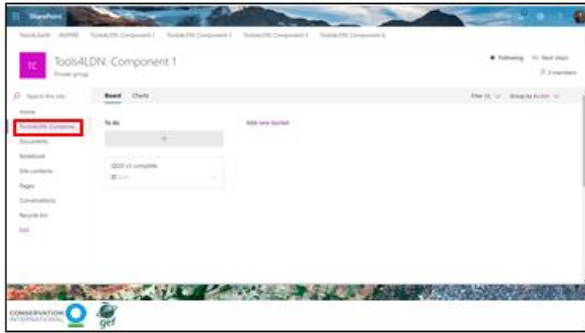
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### STAKEHOLDER ENGAGEMENT PLAN

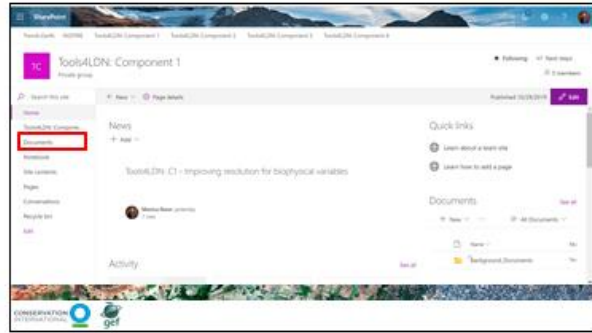
Indicator	Baseline		Target	
	Men	Women	Men	Women
1. Number of people (sex disaggregated) that have been involved in project implementation phase (on an annual basis)	7	4	8	8
2. Number of stakeholder groups (government agencies, civil society organizations, private sector, indigenous peoples and others) that have been involved in the project implementation phase (on an annual basis)	5		10	
3. Number of engagements (meetings, workshops, consultations, etc.) with stakeholders during the project implementation phase (on an annual basis)	3		8	
4.				

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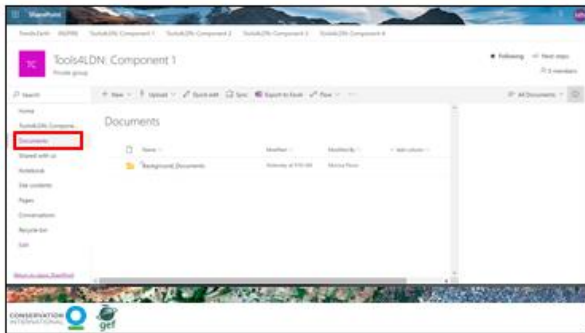
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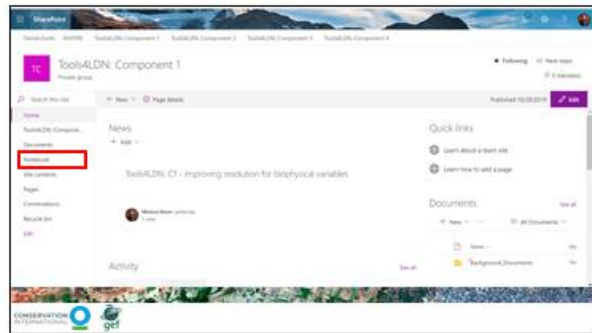
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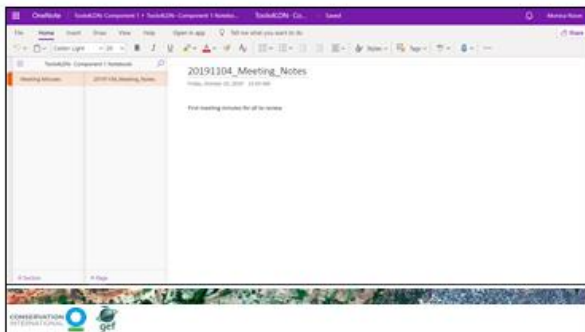
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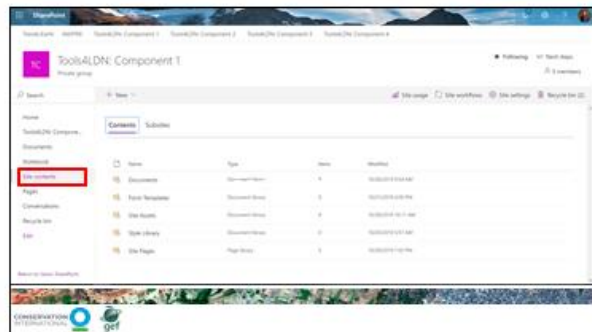
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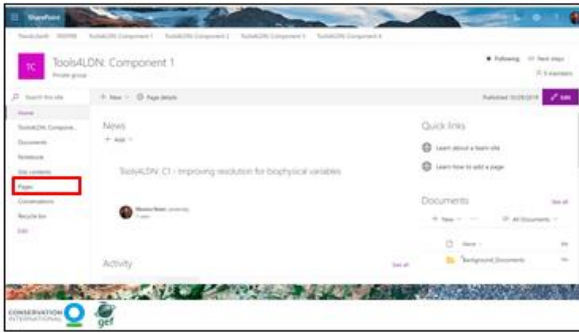
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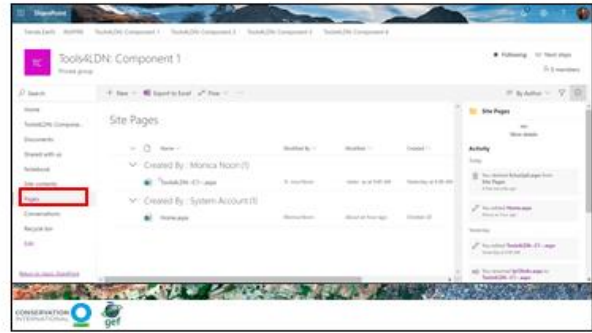
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Project Governance



Strengthening Land Degradation Neutrality data and decision-making through free and open access platforms

## Tools 4 LDN: Inception Workshop

When: Thursday October 30-31, 2019  
Where: AGU, Washington Center, Washington, DC


Conservation International trends.earth/conservation.org



1

### Project governing and overseeing bodies

- Project Executive Team
- Project Steering Committee
- Project Scientific and Technical Advisory Panel



2

### Project Executive Team

A four member executive team will be comprised of one representative each from Conservation International, the LandPKS team, the WOCAT team, and the University of California Global Health Institute.

The Executive Team will manage the project and will be responsible for implementing the project activities to achieve the proposed outcomes.

The team will have monthly meetings to assess progress of the different project components, and to plan accordingly.



3

### Project Steering Committee

An eight member Steering committee will be comprised of the Project Executive Team (4 members) plus one representative from the UNCCD, one from the Group on Earth Observations LDN Initiative, a representative from the pilot country as appointed by the UNCCD focal point, and one member from UN Environment.

The Steering Committee will provide high level guidance, will monitor overall project progress, and will be responsible for securing alignment of project activities with other global and national processes on LDN.

The Steering Committee will meet in person once following the project inception workshop and will meet quarterly online for the duration of the project.




4

### Project Scientific and Technical Advisory Panel

A group of four scientific experts on LDN, remote sensing, and sustainable land management will be invited to participate in advisory roles for this project. Organizations which will be invited to participate include, but are not limited to, FAO, JRC, NASA, UNCCD SPI and the GEF STAP.

The Scientific and Technical advisory panel will have an advisory role, reviewing progress made by the project team and advising on future directions to secure alignment with other strategic partners and stakeholders working on LDN planning and monitoring.


The Scientific and Technical advisory panel will meet online with the project Executive team every six months.



5

### Project governing and overseeing bodies

- Project Executive Team:
  - NAWA
  - GEF
  - GFF or JRC
  - WOCAT or WOCAT
- Project Steering Committee:
  - UNCCD (M or S or JRC)
  - GEF LDN
  - UNCCD Focal Point from Global (Dr. Adriana Maya, Coordinator of Strategic Affairs)
  - UN Environment
- Project Scientific and Technical Advisory Panel:
  - JRC
  - NAWA
  - UNCCD SPI
  - GEF STAP



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