

**SMALL GRANTS PROGRAMME FOR THE APPLICATION OF BEST MANAGEMENT PRACTICES (BMP) IN  
SUSTAINABLE AGRICULTURAL PRODUCTION**

**DRAFT OPERATIONS MANUAL**

## INDEX

|  |                    |
|--|--------------------|
| <b>INTRODUCTION.....</b>   | <b>V</b>           |
| <b>PRELIMINARY INFORMATION.....</b>  | <b>VI</b>          |
| <b>PART ONE: PRECEPTS.....</b>   | <b>VIII</b>        |
| <b><u>1. OBJECTIVES.....</u></b>   | <b><u>VIII</u></b> |
| <u>1.1. GENERAL OBJECTIVE.....</u>   | <u>VIII</u>        |
| <u>1.2. SPECIFIC OBJECTIVES.....</u>   | <u>VIII</u>        |
| <u>1.3. PROJECT ACTIVITIES.....</u>  | <u>VIII</u>        |
| <u>1.4. EXPECTED RESULTS OF THE PROJECT.....</u>   | <u>VIII</u>        |
| <b><u>2. FOCUS.....</u></b>  | <b><u>X</u></b>    |
| <u>2.1. STRATEGY.....</u>  | <u>X</u>           |
| <u>2.2. REGIONAL.....</u>  | <u>X</u>           |
| <u>2.3. SOCIO-CULTURAL.....</u>  | <u>X</u>           |
| <u>2.4. PRODUCTIVE.....</u>  | <u>X</u>           |
| <u>2.5. PARTICIPATIVE.....</u>   | <u>XI</u>          |
| <b>PART TWO: INSTITUTIONAL ASPECTS.....</b>  | <b>XII</b>         |
| <b><u>3. DESCRIPTION OF THE ENTITIES INVOLVED AND THE COORDINATION STRATEGY.....</u></b> | <b><u>XII</u></b>  |
| <u>3.1. FINANCING ENTITY.....</u>  | <u>XII</u>         |
| <u>3.2. SUPPORT ORGANIZATION (SO).....</u>   | <u>XII</u>         |
| <u>3.3. PROJECT COORDINATOR (PC).....</u>  | <u>XIII</u>        |
| <u>3.4. COORDINATING COMMITTEE (CC).....</u>   | <u>XIII</u>        |
| <u>3.5. PROJECT REVIEW PANEL (PRP).....</u>  | <u>XIV</u>         |
| <u>3.6. APPLICANT ORGANIZATIONS (AO).....</u>  | <u>XIV</u>         |
| <u>3.7. IMPLEMENTING ORGANIZATIONS (IO).....</u>   | <u>XIV</u>         |
| <u>3.8. LOCAL PROMOTERS (LP).....</u>  | <u>XIV</u>         |
| <b>PART THREE: REGULATIONS.....</b>  | <b>16</b>          |
| <b><u>4. GENERAL RULES FOR OPERATION.....</u></b>  | <b><u>16</u></b>   |
| <u>4.1. OBLIGATORY OBSERVANCE OF RULES.....</u>  | <u>16</u>          |
| <u>4.2. DESCRIPTION OF THE COMPONENTS OF THE PROJECT.....</u>                            | <u>16</u>          |
| <u>4.3. AREA OF INTERVENTION OF THE PROJECT.....</u>                                     | <u>16</u>          |
| <u>4.4. BENEFICIARIES.....</u>   | <u>18</u>          |
| <u>4.5. CRITERIA FOR ELIGIBILITY OF THE IO.....</u>                                      | <u>19</u>          |
| <u>4.6. PRIORITY PROJECTS.....</u>   | <u>20</u>          |
| <u>4.7. ELIGIBLE PROJECTS.....</u>   | <u>20</u>          |
| <u>4.8. PROJECT COSTS.....</u>   | <u>22</u>          |
| <u>4.9. EXPENDITURES ELIGIBLE FOR FUNDING.....</u>                                       | <u>22</u>          |

|  |           |
|--|-----------|
| 4.10. EXPENDITURES INELIGIBLE FOR FUNDING.....                               | 22        |
| <b>5. OPERATING PROCEDURES.....</b>  | <b>24</b> |
| 5.1. OBJECTIVE.....  | 24        |
| 5.2. ANNUAL OPERATING PLAN (AOP) (FIRST YEAR).....                           | 24        |
| 5.3. CALL FOR PROJECT PROPOSALS.....   | 26        |
| 5.4. PRESENTATION AND REVIEW OF PROJECTS.....                                | 26        |
| 5.5. DECLARATION OF PROJECTS REJECTED AFTER APPROVAL.....                    | 27        |
| 5.6. PRELIMINARY REPORT.....   | 28        |
| 5.7. MECHANISM FOR APPROVAL AND DISBURSEMENT OF FUNDS.....                   | 30        |
| 5.8. DISBURSEMENT OF FUNDS.....  | 34        |
| 5.9. VERIFICATION OF IMPLEMENTATION OF PROJECTS.....                         | 34        |
| 5.10. SUSTAINABILITY AND USE OF RESOURCES.....                               | 34        |
| 5.11. MONITORING AND EVALUATION OF THE PROJECTS.....                         | 35        |
| 5.12. COMMUNICATION AND PUBLIC AWARENESS STRATEGIES.....                     | 38        |
| <b>6. BUDGET AND FLOW OF RESOURCES.....</b>                                  | <b>39</b> |
| 6.1. SOURCE OF RESOURCES.....  | 39        |
| 6.2. ADMINISTRATIVE COSTS.....   | 40        |
| 6.3. AUDIT.....  | 42        |
| <b>PART FOUR: ANNEXES.....</b>   | <b>44</b> |
| <b>7. ANNOUNCEMENTS, NOTIFICATIONS, AND FORMS.....</b>                       | <b>44</b> |
| 7.1. ANNOUNCEMENT OF CALL FOR PROPOSALS.....                                 | 45        |
| 7.2. PROJECT PRESENTATION FORM.....  | 46        |
| 7.3. NOTIFICATION OF RECEIPT.....  | 48        |
| 7.4. PRELIMINARY PROJECT EVALUATION SHEET.....                               | 49        |
| 7.5. NOTIFICATION OF PROJECT APPROVAL.....                                   | 55        |
| 7.6. MEMORANDUM OF UNDERSTANDING FOR IMPLEMENTING ORGANIZATION (IO/MOU)..... | 56        |
| 7.7. PROJECT PROGRESS REPORT.....  | 57        |
| 7.8. REQUEST FOR DISBURSEMENT OF FUNDS.....                                  | 62        |
| 7.9. MONITORING REPORT.....  | 63        |
| 7.10. NARRATIVE REPORT FORM.....   | 66        |
| 7.11. FINANCIAL REPORT FORM.....   | 74        |
| 7.12. POST-PROJECT EVALUATION.....   | 77        |
| 7.13. CASE STUDIES FORM.....   | 80        |
| 7.14. TERMS OF REFERENCE FOR THE LOCAL PROMOTER.....                         | 83        |
| 7.15. PROFESSIONAL SERVICES CONTRACT.....                                    | 85        |

#### **LIST OF ACRONYMS IN SPANISH**

|                                   |     |
|-----------------------------------|-----|
| Caribbean Environmental Programme | PAC |
| Greater Caribbean Basin           | GAC |
| Support Organization              | SO  |
| Proposer Organization             | OP  |
| Implementing Organization         | IO  |
| Project Review Board              | PRP |

#### **LIST OF ACRONYMS IN ENGLISH**

|  |              |
|--|--------------|
| Global Environment Facility  | GEF          |
| United Nations Environment Programme -<br>Caribbean Environment Programme,<br>Regional Coordinating Unit | UNEP-CAR/RCU |
| Best Management Practices – Small Grants Programme   | BMP/SGP      |
| Memorandum of Understanding  | MOU          |

## INTRODUCTION

Annex IV of the LBS Protocol on non-point sources of agricultural contamination calls for the development of national plans that include educational programmes, training, and increasing awareness. These programmes are directed toward workers in the agricultural sector and their principal goal is the application of Best Management Practices (BMP)<sup>1</sup> in sustainable agricultural production. The Caribbean Environmental Programme (CEP) has carried out some activities, such as Technical Report PAC N° 41, the objective of which was to perform a study on Best Management Practices in sustainable agricultural production currently utilized in the region. Other activities are being realized, such as the GEF Project on Reduction of Pesticide Runoff into the Caribbean Sea, which will implement a series of demonstration pilot projects in the member countries for the purpose of promoting Best Management Practices.

Nevertheless, contamination originating from point-source contamination and terrestrial non-point-source constitutes a significant threat to the marine environment of Greater Caribbean Basin (GCB). During the First Meeting of the Provisional Committee of Scientific and Technical Assessment for the Protocol Concerning Contamination coming from Land Sources, the need to bring about new activities directed toward the prevention, reduction, and control of this type of contamination was recognized.

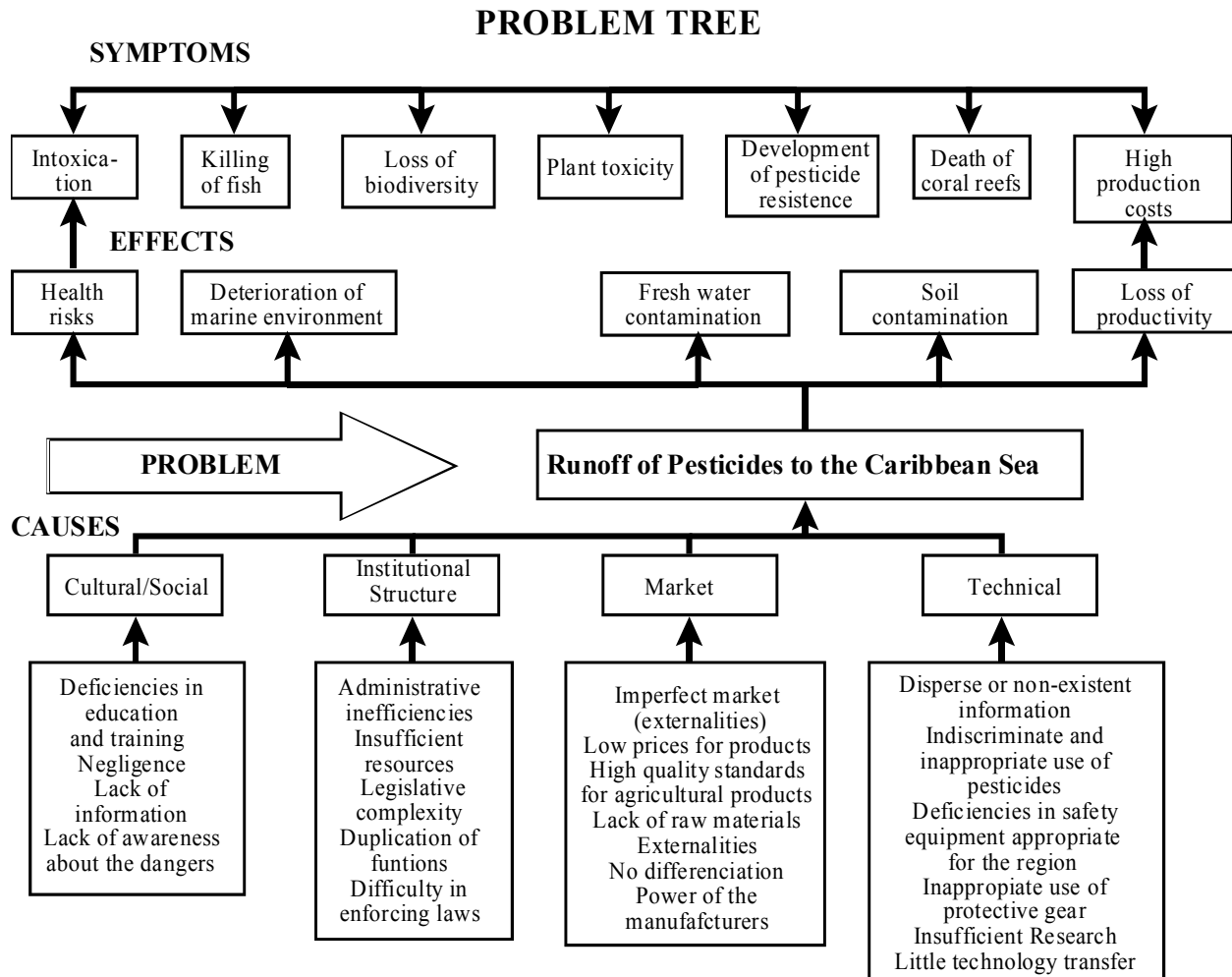
In response to this problem, UNEP-CAR/RCU is creating a fund of small grants to aid the implementation of Best Management Practices in agricultural production (BMP/SGP), through the sub- Programme AMEP of the CEP. UNEP-CAR/RCU will delegate the coordination of the BMP/SGP Programme to a Support Organization (SO) that will function as the executive regional entity for the promotion, implementation, control, and evaluation of each individual project. The SO for the first phase of this Programme will be EARTH University, through its Office of Research and Special Projects. UNEP-CAR/RCU will have the responsibility of final approval of all projects and activities.

The BMP/SGP Programme will establish small-scale demonstration pilot projects, intended for integrated agricultural and livestock production systems. Some of the specific activities (BMP) to be included are related to appropriate use of fertilizers, soil conservation and retention of sediments, alternative methods for tillage and planting, management of agricultural wastes, and management techniques for livestock production activities that contribute to sustainable agricultural production.

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<sup>1</sup> BMP: Best Management Practices, management of inputs to provide for economic, environmental, and agronomic efficiency for sustainable production agriculture.

## PRELIMINARY INFORMATION



**Figure 1. Problem Tree for the project (Source: Reduction of Pesticide Runoff into the Caribbean Sea, 2001; modified).**

Contamination of ecosystems stemming from an agricultural production sources constitutes a significant challenge for the marine environment of the Greater Caribbean Region. During recent years this has created a series of symptoms that affect not only the ecosystems involved, but also the quality of life of the people living in the affected areas. This problem has generated an important and impacting series of effects such as risks to human health, deterioration of the marine environment, contamination of fresh water sources, and contamination of soils. The consequences of these effects have led to a considerable loss of productivity, thereby worsening of the condition of poverty in these zones of abundant marine resources.

Some of the principal causes of this problem of contamination are the lack of education and innovative tools for production. Education and innovation increase the producers' awareness of the extent of the problem and of what changes need to be made for measurable qualitative and

quantitative impacts to reduce this contamination.

The need exists to prevent, control, and reduce this type of contamination. The development of an innovative technical plan, the implementation of an educational programme oriented toward promoting environmental awareness, and the advancement of regulatory materials for reducing the use of contaminants, all are steps that are critically necessary for assuring the long-term protection of the marine resources of the regions. The BMP/SGP Project will implement small-scale demonstration pilot projects oriented toward the promotion of Best Management Practices. A demonstration pilot project is one which, through its implementation, provides innovative knowledge and solutions for this problem of environmental contamination.

## **PART ONE: PRECEPTS**

### **1.OBJECTIVES**

#### **1.1.General Objective**

To promote the implementation of Best Management Practices (BMP) for preventing, controlling, and reducing marine contamination. To assist the countries of the Greater Caribbean Basin (GAC) in the development of an integrated environmental plan and Best Management Practices for the coastal and marine areas.

#### **1.2.Specific Objectives**

To promote, through means of demonstrations and training sessions, the use of Best Management Practices as a strategy to encourage a change in traditional agricultural production models and to have a positive impact on the integrated management of the hydrographical watersheds of the GAC.

To stimulate the development of profitable, socially just, and environmentally friendly demonstration projects.

To reduce health risks in agricultural production and improve sanitary conditions in the zones of the region.

To establish a system of participative horizontal learning<sup>2</sup> that permits the exchange of instructive experiences between the highest numbers of beneficiaries possible.

To report the results of these demonstration experiences at the regional, national, and international levels so as to maximize the impact of the efforts undertaken.

#### **1.3.Project Activities**

To establish small-scale demonstration pilot projects in sustainable production related to the appropriate use of fertilizers, soil conservation and retention of sediments, alternative methods of tillage and planting, management of agricultural wastes, and techniques of livestock production.

To execute the demonstration pilot projects within the context of Best Management Practices for watersheds and integrated agricultural/livestock systems.

To promote innovative practices through participative learning and the generation of information.

To expand the knowledge base of agricultural/livestock producers and their awareness of the Best Management Practices.

To report the results to the rest of the countries within the GAC by means of Case Study Reports.

#### **1.4.Expected Results of the Project**

Small-scale demonstration pilot projects implemented in the countries of the GAC.

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<sup>2</sup> Horizontal learning: Exchange of experiences and information from one producer to another.

Demonstration pilot projects that result in the use of Best Management Practices, from an agricultural point of view.

The adoption of Best Management Practices for sustainable agricultural production on the part of the beneficiaries (producers, communities) through an active and participative process.

The generation and distribution of the information generated by means of the CEP-LBS Clearinghouse.

Case Study Reports.

## **2.FOCUS**

The Small Grants Programme for the Application of Best Management Practices in Sustainable Agricultural Production has been conceived to involve the beneficiaries in the design, operation, and evaluation of each project, ultimately strengthening their productive performance through the application of production methods with positive environmental and social impacts that contribute to the reduction of pesticide runoff into the Caribbean Sea. Five principal focuses of the Project can be identified, which, when integrated, guarantee the achievement of the objectives.

### **2.1.Strategy**

This focus includes the following components:

2.1.1.Diagnostic and planning actions on the part of the beneficiary groups for examining systems of production and the impact of the Best Management Practices employed within the ecosystems linked to the geographic area.

2.1.2.Participative learning and the generation of information that will serve as reference for similar initiatives.

2.1.3.Strengthening of beneficiary organizations and groups, and the development of human resources.

2.1.4.Implementation of actions and initiatives within the Greater Caribbean Basin.

### **2.2.Regional**

The projects developed within the framework of this Programme will be directed toward government agencies, community organizations, non-governmental environmental organizations, institutions dedicated to research, tertiary academic organizations, and appropriate organizations within the private sector (agricultural cooperatives, associations of producers) that are geographically located in communities within the zone of the GAC.

### **2.3.Socio-cultural**

The structure of the Project offers tools so that the communities and organizations receiving the benefits can adopt and adapt to the processes of conservation and sustainable agricultural production. For this reason the innovative experiences that the communities/producers have developed over time, in conjunction with those traditional practices that are characterized as being eco-efficient, are integral for the process.

The demonstration projects can also improve wellbeing with appropriate training in the use of agro-chemicals, thereby reducing health risks associated with agricultural production.

### **2.4.Productive**

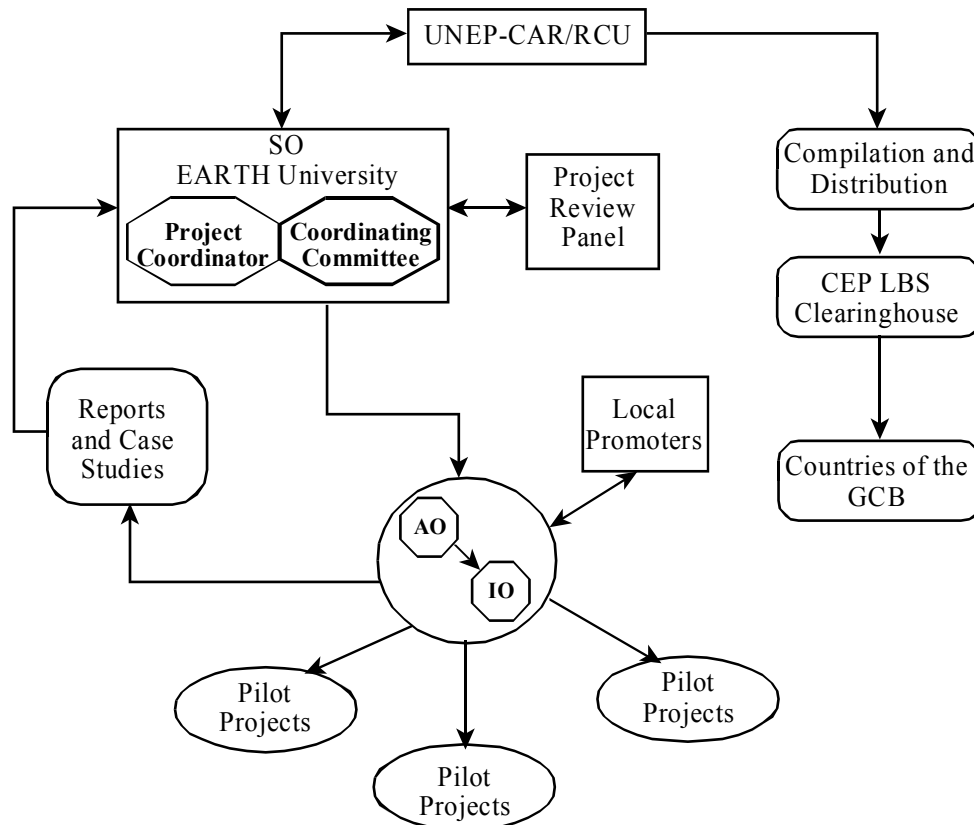
The demonstration pilot projects can additionally help diminish poverty by creating an impetus for productive agricultural activities with positive environmental impacts that combine the appropriate use of fertilizers, the conservation of soils and retention of sediments, alternative methods of tillage and planting, and the management of agricultural wastes, as strategies for reducing the runoff of pesticides into the Caribbean Sea.

## **2.5.Participative**

Creating a space for sharing and exchanging information, experiences, and technologies that improve performance will promote participative learning for those involved in the projects.

## PART TWO: INSTITUTIONAL ASPECTS

### 3. DESCRIPTION OF THE ENTITIES INVOLVED AND THE COORDINATION STRATEGY



**Figure 2. Structure of the coordination of the BMP/SGP Project.**

#### 3.1. Financing Entity

1 UNEP-CAR/RCU

#### 3.2. Support Organization (SO)

1 Office of Research and Special Projects, EARTH University

During the first stages of the Project, EARTH University will function as the regional implementing entity for promoting, implementing, controlling, and evaluating the individual projects. The SO will implement the Project through the Office of Research and Special Projects. Additionally, if needed, Local Promoters will be hired, who will be responsible for providing technical support and follow-up for the projects. They will be responsible for guaranteeing the effective operation and the appropriate administration of the financial resources of the projects as well as facilitating and simplifying the administrative and financial processes of the overall Project.

The principal functions of the SO are as follows:

3.2.14256.To promote the development of sustainable and innovative demonstration pilot project proposals on the part of applicant organizations/agencies.

3.2.14257.To examine, evaluate, and process the project proposals in conjunction with the Project Review Panel.

3.2.14258.To formalize the Memoranda of Understanding (IO/MOU) with applicant organizations/agencies that will implement the projects.

3.2.14259.To receive, administer, and transfer Non-Refundable Financial Aid resources.

3.2.14260.To provide help for the applicant organizations/agencies in the preparation of project proposals and for the implementing organizations/agencies in the preparation of progress reports, as well as the development of Case Study reports.

3.2.14261.To keep a detailed record of the movements of the resources, the funds in use, and the balances of each of the types of expenditures.

3.2.14262.To generate the reports and information required by UNEP-CAR/RCU.

3.2.14263.To compile and distribute the results.

3.2.14264.To formalize the hiring of companies or people necessary working within the framework of the Project.

3.2.14265.To provide supervision to ensure that the Project Operations Manual is applied and followed correctly.

3.2.14266.To participate in the activities of monitoring and evaluation.

3.2.14267.To facilitate personnel exchanges between the different pilot projects.

### **3.3.Project Coordinator (PC)**

1The SO will designate, from within the work team, a Project Coordinator to be in charge of insuring that all established norms and guidelines demarcated in the SO/MOU signed and agreed upon between UNEP-CAR/RCU and the SO are met. The Coordinator will be designated once the SO/MOU has been signed.

### **3.4.Coordinating Committee (CC)**

This committee will be comprised of four employees of EARTH University whose specialization and work is in areas complementary to the Project, such as training, sustainable agricultural production, rural community development, and environmental protection.

The responsibilities include:

3.4.16.Being responsible for directing of the management of the Project within the SO.

3.4.17.Meeting once per month to receive informational reports about the status of the projects and to suggest mechanisms or tools for maximizing their impact.

3.4.18. Supporting the SO on a technical level.

### **3.5. Project Review Panel (PRP)**

The proposals that have been determined to be complete and appropriate will be submitted to a Project Review Board for an in-depth study by experts. The SO will submit the final version of the project to UNEP-CAR/RCU for final approval. The Board will be made up of a multidisciplinary group of no less than three and no more than five experts selected by the SO and approved by UNEP-CAR/RCU, plus one direct representative from UNEP-CAR/RCU. The members of this panel will serve *ad honorem* and will be nominated by the SO according to the necessities of each project.

The responsibilities include:

3.5.600. Providing technical assistance to insure that innovative and appropriate practices of management of agricultural and livestock production are effectively utilized in the demonstration pilot projects.

3.5.601. Ensuring that each project is environmentally friendly, economically feasible, and socially viable.

3.5.602. Meeting twice per year to analyze the project proposals and select those that will receive financing.

### **3.6. Applicant Organizations (AO)**

Applicant Organizations are those that submit their BMP/SGP project proposal. The AO must be a legally registered organization/agency and have an established functional and operational organizational structure. Only AO and projects that come from, and operate within, the member countries of the GCB will be eligible for grants ([Table 1](#)).

### **3.7. Implementing Organizations (IO)**

Once the AO receive approval of the proposals, they will be given the status of Implementing Organizations (IO). These are the organizations that will function as the representative counterpart of the UNEP-CAR/RCU in each of the three distinct areas of intervention for the project. Some of their responsibilities include the administrative and financial monitoring and follow-up of the subprojects working within the communities of its area of intervention. The IO will sign an Agreement of Operative Coordination with the UNEP-CAR/RCU, to define the limits of the scope of their actions. The criteria of eligibility of the IO are delineated in Section 18.

### **3.8. Local Promoters (LP)**

The Local Promoters can be independent professionals or state/private employees without exclusive dedication to the project. The LP will be employed by means of a Professional Services Contract ([Annex 14](#)).

The following are the criteria of eligibility established for evaluating the LP:

3.8.1. At least five years of relevant experience in the specific area for which he/she is hired.

3.8.2. Certified academic training in the specific area.

3.8.3. Experience in implementing projects in the geographic area in which the project is located.

3.8.4. Presentation of a proposal for executing of his/her work responsibilities that is in compliance with the terms of reference defined by the contracting party.

## **PART THREE: REGULATIONS**

### **4.GENERAL RULES FOR OPERATION**

#### **4.1.Obligatory Observance of Rules**

The guidelines agreed upon between UNEP-CAR/RCU and the SO during the first stage of the BMP/SGP Project, and those denoted in the Memorandum of Understanding No. \_\_\_\_\_ (SO/MOU), need to be considered in the execution of all actions of the Project. The set of standards for the use of external resources outlined in this manual must also be considered. A second stage will most likely involve other countries within the region. A third stage will probably involve all the nations of the Caribbean if the plan continues as anticipated. For the implementation of those plans, the UNEP-CAR/RCU will designate the corresponding Support Organization.

The Manual will be adjusted to be in accordance with the provisions of the SO/MOU signed during the first stage of the BMP/SGP Project by UNEP-CAR/RCU and EARTH University as the SO, so as to resolve any discrepancy between the text of the Agreement and this Manual.

#### **4.2.Description of the Components of the Project**

The BMP/SGP Project will be organized into the following four components:

4.2.1.Best Management Practices for Sustainable Agricultural Production: Through the implementation of demonstration pilot projects, whose operations and area of impact fall within the watersheds of the GCB, agricultural production based on rational and eco-efficient use of resources available on farms will be promoted. The following focus areas are included as eligible activities: Best Management Practices with Soils, Eco-efficient Agricultural Production, Protection of Crops and Protection of Water Sources (Section 19, Eligible Projects).

4.2.2.Transference of capacities and knowledge: To expand the knowledge base of agricultural producers involved in the management of watersheds within the geographical zone of the GCB, and thereby strengthen their dedication to implementing the Best Management Practices. This transference of capacities will come about through the participative horizontal exchange of experiences between the IO and the neighbouring producers within the area of intervention.

4.2.3.Information Generation: Through the preparation of a series of case studies oriented toward systematizing the different experiences related to Best Management Practices for Sustainable Agricultural Production. The information generated will serve to increase knowledge in other regions with similar characteristics, situations, and problems.

4.2.4.Distribution of Information: The SO will distribute the information generated by the different projects to the countries of the GCB through the publication of Case Studies.

#### **4.3.Area of Intervention of the Project**

The BMP/SGP Project will be carried out only in those countries that are Signatories of the Cartagena Convention and its Protocols, and that possess territory in direct contact with the Caribbean coast. In the first stage, project will be implemented in the countries of Costa Rica, Nicaragua, and Honduras, in areas that directly influence the Caribbean Sea (Table 1). Over the short term, the Project is expected to be extended to include all of the countries of Central America.

The long-term plan is for a subsequent stage to include all of the remaining countries of the Caribbean.

**Table 1. The areas of intervention of the countries involved in the Project.**

|                      |  |
|----------------------|--|
| Costa Rica           |  |
| Provinces            | Limón, Cartago, Heredia  |
| Rivers <sup>1†</sup> | Frío ( km), San Carlos ( km), Tortuguero (85 km), Reventazón (145 km), Pacuare (105 km), Chirripó (80 km), Estrella (60 km), Sixaola (140 km)  |
| Nicaragua            |  |
| Departments          | León, Estelí, Madriz, Nueva Segovia, Jinotega, Matagalpa, Managua, Masaya, Granada, Carazo, Rivas, Boaco, Chontales, Río San Juan, Zelaya Norte, Zelaya Sur  |
| Rivers <sup>†</sup>  | Segovia (680 km), Bocay (115 km), Amaka ( km), Wawa (160 km), Kukalaya (140 km), Bambana (143 km), Prinzapolka (245 km), Río Grande de Matagalpa (465 km), Tuma (180 km), Kurinwás (160 km), Escondido (88 km), Siquia (115 km), Mico (189 km), Punta Gorda (115 km), Indio (70 km), San Juan (180 km) |
| Honduras             |  |
| Departments          | Gracias a Dios, Olancho, El Paraíso, Colón, Atlántida, Yoro, Francisco Morazán, Comayagua, Intibucá, Santa Bárbara, Cortés   |
| Rivers <sup>†</sup>  | Kruta (125 km), Patuca (500 km), Guayambre ( km), Guayape ( km), Sigre (70 km), Plátano (85 km), Paulega o Paulaya ( km), Sico Tinto (215 km), Aguán (225 km), Ulúa (300 km), Sulaco ( km), Humuya ( km), Chamelecón (200 km)  |

<sup>1†</sup> Major rivers that drain into the Caribbean Sea, and their tributaries.

#### 4.4. Beneficiaries

In choosing the demonstration pilot projects, a typology (classification system) will be used to determine the type of partner organization and its capacities in relation to the objectives set out in its project proposal. For the sake of classification of the beneficiaries, the following typology has been defined:

**Table 2. Typology of the possible IO and their characteristics.**

| Classification                    | Definition   | Characteristics  |
|-----------------------------------|--|--|
| I. Government Agencies            | Institution or agency directly linked to the areas of government work (ministries, institutes)                                 | <ul style="list-style-type: none"> <li>- Legally set up and operational</li> <li>- Works within an area linked to the theme to be developed within the project</li> <li>- Operates within the area of intervention of the project</li> </ul>   |
| II. Community Organizations       | Organizations capable of participating in joint efforts with the community   | <ul style="list-style-type: none"> <li>- Legally set up and operational</li> <li>- Has a minimum of 3 years of existence</li> </ul>  |
| III. Private Sector Organizations | Collective entity organized by area of interest that works to protect the interests of a specific private sector               | <ul style="list-style-type: none"> <li>- Minimum membership base of 20 members.</li> </ul>   |
| IV. NGO with environmental focus  | Non-Governmental Organization created with social interest in mind that does not have the objective of earning profit          | <ul style="list-style-type: none"> <li>- Legally set up and operational</li> <li>- Works within an area linked to the theme to be developed within the project</li> <li>- Operates within the area of interest of the project</li> <li>- At least 3 years experience in execution of projects</li> </ul> |
| V. Universities                   | Institution of higher learning that includes a diverse variety of areas of study and awards the corresponding academic degrees | <ul style="list-style-type: none"> <li>- Legally set up and operational</li> <li>- Works within an academic or research-related area linked to the theme to be developed within the project</li> </ul>   |
| VI. Research Centres              | Institutions dedicated to promoting and carrying out studies and research investigations                                       | <ul style="list-style-type: none"> <li>- Accredited</li> <li>- Has a minimum of 10 years of existence</li> <li>- Operates within the area of interest of the project</li> </ul>  |

#### **4.5.Criteria for Eligibility of the IO**

4.5.1.Must be based in one of the listed provinces/departments in the area of intervention of the Project (Section 16).

4.5.2.Must demonstrate the desire and motivation to be incorporated into the Project.

4.5.3.The area of work of the organization must lie within the areas identified as priorities of the Project.

4.5.4.Must have no current legal problems, nor court cases nor lawsuits, pending against them.

4.5.5.The interests of the organization must coincide with the strategic interests of the Project.

4.5.6.The project must promote the interchange of experiences so as to modify and change the tendencies and habits of contaminating agricultural production.

4.5.7.The application form must be filled out correctly and turned in on time.

4.5.8.The amount applied for must be within the established range of financial support for the particular type of project.

4.5.9.Must be willing and available to provide information to the SO related to the implementation and successes and/or failures of the project for publication through the database of UNEP-CAR/RCU on the Internet.

4.5.10.Must be located in a country that is a signatory to the Cartagena Convention and its Protocols.

4.5.11.Must be legally set up and operational, have a Board of Directors that functions in a stable manner and have a permanent General Assembly.

4.5.12.Must have administrative accounting system.

4.5.13.Must have an Administrative Procedures Manual.

4.5.14.Must have a regional bank account and a bank account within the national system that can be accessed from rural zones.

4.5.15.Must be able to demonstrate its capacity to operate and monitor the project in the area of implementation of the project.

4.5.16.Must fulfil all of the requirements of this document.

#### **4.6. Priority Projects**

4.6.1. Complement pre-existing projects and initiatives that are linked at a regional and national level to the goals of the BMP/SGP Project.

4.6.2. Can be put into action within a period of time of no more than one month from the time of approval (excluding operation and maintenance, collection of data and evaluation of results).

4.6.3. Receive additional financing from a local institution or other donors.

#### **4.7. Eligible Projects**

In [Table 3](#) the specific focus areas and activities that will be eligible for financing through the BMP/SGP Project are identified, according to the related component (Section 4.2). All of the activities indicated fall within the realm of the concept of Best Management Practices. Although the list is long, the possibility of proposing new innovative ideas tied to the areas mentioned is not excluded. Projects that are subject to support must include not only productive or demonstrative activities, but also efforts to give training and to transfer knowledge simultaneously.

**Table 3. The different focus areas of each component and some of the activities that the IO could execute within the framework of the projects.**

| <b>Component</b>   | <b>Focus Area</b>   | <b>Eligible Activities (including Others†)</b>   |
|--|---|--|
| I. Best Management Practices for Sustainable Agricultural Production | BMP: Soil Management  | <ul style="list-style-type: none"> <li>- Systems of crop rotation</li> <li>- Management of cover crops</li> <li>- Precision agriculture</li> <li>- Control of Erosion</li> <li>- Contouring and Terracing</li> <li>- Soil mapping and best management practices</li> </ul> |
|  | BMP: Eco-efficient Agricultural Production                  | <ul style="list-style-type: none"> <li>- Biofertilizers</li> <li>- Agroecological Systems</li> <li>- Agroforestry/Pasture Systems</li> <li>- Integrated Systems of Production</li> </ul>   |
|  | BMP: Protection of Crops                                    | <ul style="list-style-type: none"> <li>- Integrated Pest Management</li> <li>- Organic Agriculture</li> <li>- Biological Control</li> <li>- Natural Insecticides/Pesticides</li> </ul>   |
|  | BMP: Waste Management                                       | <ul style="list-style-type: none"> <li>- Classification of wastes on the farm</li> <li>- Organic Fertilizers</li> <li>- Biodigesters</li> <li>- Decontamination of water sources</li> <li>- Recycling of nutrients / wastes</li> </ul>                                     |
|  | BMP: Protection of Water Sources                            | <ul style="list-style-type: none"> <li>- Closing off of springs to prevent intrusion of cattle</li> <li>- Stabilization of hillsides</li> <li>- Reforestation of river watersheds</li> <li>- Reduction of leachates</li> </ul>   |
|  | Adaptation or Utilization of Innovative/Low-cost Technology | <ul style="list-style-type: none"> <li>- Research/Technology adaptation</li> <li>- Implementation of low-cost and or innovative technologies</li> </ul>  |
| II. Transference of Capacities and Knowledge                         | Technical Assistance  | <ul style="list-style-type: none"> <li>- Consultations</li> <li>- Assessments in the rural zones</li> <li>- Vertical training</li> </ul>   |
|  | Horizontal Training   | <ul style="list-style-type: none"> <li>- Exchange of experiences</li> <li>- Internships</li> <li>- Workshops</li> </ul>  |

† Others meaning those themes not mentioned in the list above, but that are linked in a creative and innovative manner to the subject matter of the Project.

In Table 4, the remaining components (III and IV) are detailed, which will be executed exclusively by the SO. In this case, all activities listed must be carried out, as required by the SO/MOU.

**Table 4. Different focus areas of each component and activities to be executed by the SO.**

| <b>Component</b>                    | <b>Focus Area</b>                                     | <b>Activities</b>  |
|-------------------------------------|---|--|
| III. Generation of Information      | Documentation of Results                              | Case Studies   |
| IV. Distribution of the Information | Communication of the results for the learning process | Publication of studies on the web page<br>Annual presentation of cases |

#### **4.8. Project Costs**

The amount of financial support for each project will be determined in the IO/MOU and based on the proposal presented by the IO. The maximum amount for each project will be \$6,250: \$5,000 maximum in direct aid on the part of UNEP and \$1,250 minimum in kind (quantifiable) or monetary support on the part of the IO (equivalent to 25% of the total).

For each project approved, an amount of \$2,000 will be assigned to the SO to cover the administrative costs of the Project. These funds will be utilized for the activities of control, supervision, and evaluation by the Local Promoters. A more complete description of the allocation of these funds can be found in Section 6.2.48076.

#### **4.9. Expenditures Eligible for Funding**

The eligible expenditures for the implementation of the projects are described in the following table.

**Table 5. Eligible expenditures for the BMP/SGP projects.**

| <b>Costs</b>                            | <b>Maximum Amount</b> |
|---|-----------------------|
| Capital goods (materials and equipment) | \$1,500               |
| Technical Assistance                    | Variable              |
| Training                                | Variable              |
| Collection of Data                      | Variable              |
| Technical Manuals                       | Variable              |
| <b>Total</b>                            | <b>\$5,000</b>        |

#### **4.10. Expenditures Ineligible for Funding**

During the preliminary evaluation of the projects, the SO will implement the following restrictions:

4.10.1. The payment of debts, purchase of stocks and/or bonds, securities, expenditures attributed to pre-existing investments not previously arranged with the Banks, and the payment of taxes, will not be financed.

4.10.2. The acquisition or rent of properties and the purchase of computer equipment and/or electronics will not be financed with the funds of the project.

4.10.3. Additionally, the funds of the BMP/SGP Project cannot be used to finance direct actions or those related to the following:

4.10.3.1. Capital investments to be used for construction materials, for processing equipment, or for roads.

4.10.3.2. Consumer goods or property transfers.

4.10.3.3. Welfare or other types of social assistance.

4.10.4. Normal operating costs that would exist irrespective of the project.

4.10.5. Activities involving land or natural resources for which the community/organization does not have legal authorization to exploit.

4.10.6. Activities related to the exploitation of species of plants or animals listed in the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) or listed in the NOM-059-ECOL-1994 (Wild species of terrestrial and aquatic flora and fauna that are rare, endemic, threatened or in danger of extinction, and are therefore subject to special protection).

4.10.7. The use of pesticides made with products classified IA and IB of The World Health Organization Recommended Classification of Pesticides by Hazard and Guidelines to Classification (Geneva: World Health Organization), or include products from Class II of the same Guidelines.

4.10.8. Traditional forms of cattle production.

4.10.9. The introduction or promotion of non-native species in the area in which the project is located.

4.10.10. The conversion or degradation of critical natural habitats.

## **5. OPERATING PROCEDURES**

### **5.1. Objective**

To establish a set of operating procedures to be used as reference for all actions of the Project in the phases of planning, execution, follow-up, and evaluation. The operating procedures are defined, but permanently subject to evaluations and changes.

### **5.2. Annual Operating Plan (AOP) (First Year)**

The PC will present the AOP to UNEP-CAR/RCU by the 15<sup>th</sup> of January of every year. The purpose of this plan is to describe and execute the Project fully in compliance with UNEP-CAR/RCU in all aspects related to the administration, operation, follow-up, and evaluation, thereby making it possible to attain the desired and expected results of the BMP/SGP Project. For the implementation of the Project, the design must include a clear approach for its first year of operation (Annual Operating Plan, AOP), in which the project and activities to be implemented, as well as a budget planned by component and area, are defined.



|       |    |  |  |  |  |  |  |  |  |  |  |   |  |  |  |  |  |  |  |   |  |  |  |
|-------|----|--|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|--|--|---|--|--|--|
| TOTAL | 18 |  |  |  |  |  |  |  |  |  |  | 1 |  |  |  |  |  |  |  | 9 |  |  |  |
|       |    |  |  |  |  |  |  |  |  |  |  | 5 |  |  |  |  |  |  |  |   |  |  |  |

† For the calculation of this budget, the execution of 6 projects (2 per country) approved during an annual convention has been estimated.

### 5.3.Call for Project Proposals

Proposals will be received twice per year. Agencies will be notified by announcements transmitted through the different means of communication normally utilized by UNEP-CAR/RCU. The announcement and application forms will also be published on the web page of the SO. The period of time for receiving proposals will begin at the time of publication of the announcement and continue for the following two months. The SO will be responsible for writing and publishing the announcement and for receiving and responding to the applications. Once the time period for receiving applications has ended, the process of reviewing the proposals will begin. [Annex 1](#) details the example of an announcement for publication.

### 5.4.Presentation and Review of Projects

The AO will send the proposal to the SO utilizing the Project Application Form ([Annex 2](#)). Once the proposal is received, it will be reviewed by the SO to verify that the AO meets all of the requirements for eligibility for receiving funding and that the project fits the thematic framework of the BMP. The SO will send a Notice of Receipt of Proposal ([Annex 3](#)) within one month having received the proposal.

If the proposal meets all of the requirements detailed previously in this document, it will be sent to the Project Review Board (PRP) for a more detailed analysis. If the proposal does not meet all of the requirements, the SO will provide the AO with the information as to why it does not meet the standards, so that the AO may amend the proposal and take the appropriate measures to meet the requirements for presentation to the PRP. The AO will have 15 days to make the appropriate changes.

Once the PRP receives the proposal, it will be reviewed based on the Preliminary Project Evaluation Sheet ([Annex 4](#)) and a response will be sent to the AO during the calendar month following the date of receipt of the proposal. If the Board recommends in favour of financing the proposal, it will be sent to UNEP-CAR/RCU for final approval. If the Board rejects the proposal, it will not be subject to financing and will therefore no longer be considered. UNEP-CAR/RCU will notify the SO of its decision within a calendar month and the SO will immediately notify the AO through the Notification of Project Approval ([Annex 5](#)).

After a project has been approved, the SO will write the Memorandum of Understanding (IO/MOU) ([Annex 6](#)), which must be approved by UNEP-CAR/RCU. The AO, the SO, and UNEP-CAR/RCU must sign the MOU before the transfer of funds begins. UNEP-CAR/RCU will ensure that the disbursement of funds is made within the two months following the date of approval by the PRP. Once the IO/MOU has been signed, the AO becomes the IO.

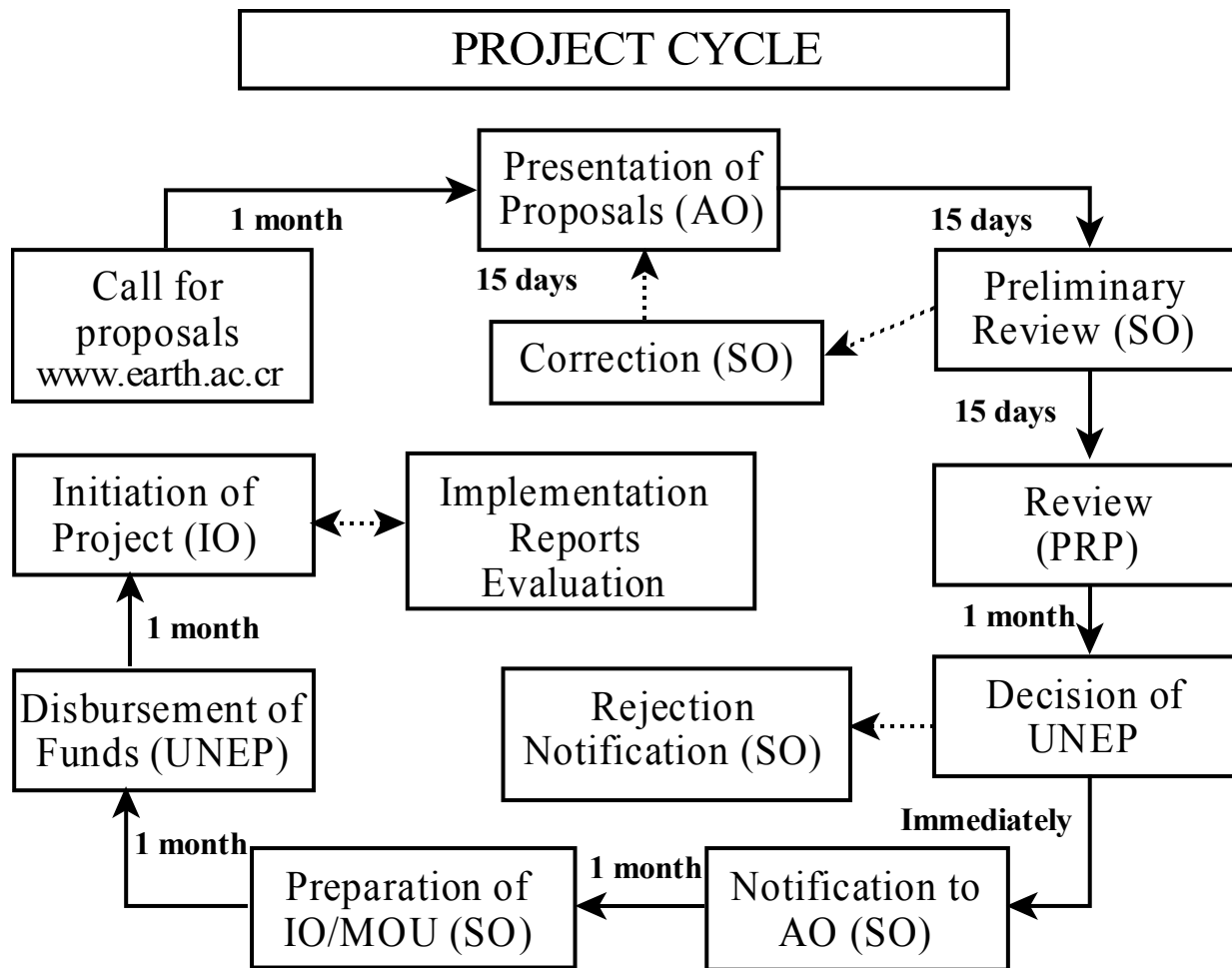
### **5.5.Declaration of Projects Rejected After Approval**

In spite of having been selected and approved, a project can be rejected in one of the following situations:

5.5.29296. When the AO does not respond to the IO/MOU within the maximum period allotted for this (one month).

5.5.29297. When a disagreement without the possibility of resolution presents itself. This type of problem is usually indicative of potential future conflicts or a lack of interest on the part of the AO, both of which would indicate a diminished possibility of success of the project.

The BMP/SGP Project was conceived to function as a fund that responds to the requests of the beneficiaries, but only in accordance with the strategy of the Project. To best achieve the aims of the Project, the funding will not be allocated by country or region, but will be left open to the requests of the beneficiaries in concordance with the goal of fulfilling the strategic aims of the Project.



**Figure 3. Cycle of the BMP projects.**

### 5.6. Preliminary Report

The PRP will evaluate the projects and present a pre-selection of the proposals to UNEP-CAR/RCU. The general criteria for the evaluation process are the following:

5.6.1. The community/organization must meet all of the criteria for eligibility (Section 4.4).

5.6.2. The expenditures to be financed by the project must be included in the list of Expenditures Eligible for Funding (Section 4.9).

5.6.29912. The amounts solicited for the financing of the Project must fall within the acceptable range defined for the BMP/SGP Project ([Table 5](#)).

5.6.29913. The projects must be geared toward integrated management of watersheds through Best Management Practices for farming that generates alternate, eco-efficient uses of resources, and if possible, present options for other sources of financing or reducing costs for the beneficiaries.

5.6.29914. Additionally, the following criteria must be considered:

5.6.29914.1. Feasibility – The projects must have a high probability of success.

5.6.29914.2. Organization – The beneficiary must have a level of organization that guarantees that the project will operate successfully.

5.6.29914.3. Reproducibility – The project must provide an innovative model or strategic activity that is characterized by its easy implementation, accessible resources, and simple methods, so that the model can be reproduced in other geographic zones.

5.6.29914.4. Environmental aspects – The project proposed must focus on a positive environmental impact and imply the least possible negative environmental impact in the area for which the project is being proposed. The PRP will take into consideration any environmental norms and regulations of the country in which the project is proposed when making the preliminary report.

5.6.29914.5. Need – The beneficiary must be able to demonstrate a clear need for aid with resources additional to those already possessed.

5.6.29914.6. Consistent with the sub-regional, regional, and national priorities – The proposed alternatives to be developed with the BMP/SGP funding must be in accord with development initiatives at the levels mentioned.

5.6.29914.7. Use of innovative or low-cost technology

All of these elements are described in the Preliminary Project Evaluation Sheet ([Annex 4](#)), which is the instrument that the PRP will utilize for review of the projects.

### **5.7.Mechanism for Approval and Disbursement of Funds**

Once UNEP-CAR/RCU has approved the projects for financing, the following procedure will be utilized (based on a year-long project):

5.7.1. Signing of the IO/MOU by the AO, the SO, and UNEP-CAR/RCU.

5.7.2. UNEP-CAR/RCU will make the first payment of funds (40%) during the two-month period following the date of approval by the PRP.

5.7.3. The IO will initiate the project during of period of no more than one month after the receipt of the first disbursement of funds.

5.7.4. The IO sends its 1<sup>st</sup> Project Progress Report to the SO five months after the initiation of the project. The format for this report is included in [Annex 7](#).

5.7.5. The SO approves the Report and solicits the disbursement of funds (30%) for the approved project from UNEP-CAR/RCU. To do this the SO must complete the Request for Payment included in [Annex 8](#). UNEP-CAR/RCU will complete the transfer of the funds during a subsequent period of no more than one month.

5.7.6. Eight months after the initiation of the project, the SO does an “in-situ” evaluation of each project and prepares a Monitoring Report ([Annex 9](#)) for UNEP-CAR/RCU during the period of no more than one month after the visit.

5.7.7. Ten months after the initiation of the project, the IO sends its 2<sup>nd</sup> Progress Report to the SO, utilizing the format in [Annex 7](#).

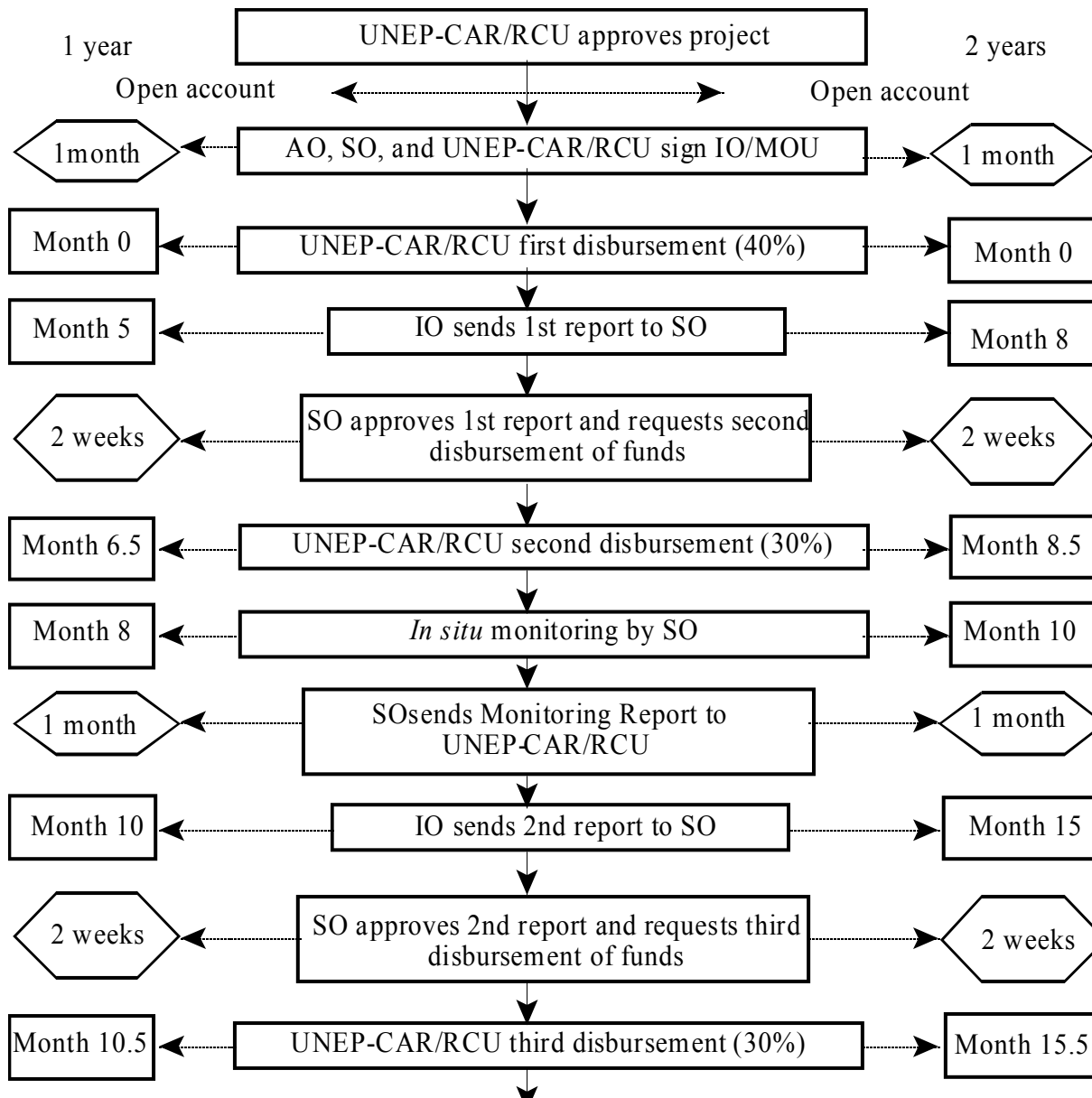
5.7.8. The SO approves the Report and solicits the third disbursement of funds (30%) for the approved project from UNEP-CAR/RCU during a period of no more than one month.

5.7.9. Twelve months after the initiation of the project the IO sends the Narrative Report ([Annex 10](#)) and the Project Financial Report ([Annex 11](#)) to the SO.

5.7.10. The SO reviews and approves the Reports during a period of time of no more than one month and sends the information to UNEP-CAR/RCU.

5.7.11. UNEP-CAR/RCU carries out an external evaluation of the completed project during the period of no more than two months after its completion.

5.7.12. Any interests generated by the funds from the grant must be paid back to UNEP-CAR/RCU.



**Figure 4. Procedure for the approval and disbursement of funds for one-year and two-year projects.**

## **5.8. Disbursement of Funds**

The funding will be delivered directly to the IO in three payments through electronic bank transfers, according to the timetable of the project: 40% upon initiation, 30% halfway through the project, and 30% during the final stage. Although the total amount will be paid out before the project is finalized, the beneficiary is obligated to send its Narrative and Financial Reports once the project has concluded, during the time periods set forth in this Manual. If the beneficiary does not complete this requirement, it will be universally rejected for future projects.

The IO will sign the IO/MOU, and once this document is signed, the disbursement of funds corresponding to the time periods established in this Manual will be made directly to the IO without the involvement of the SO. Nevertheless, to complete the 2<sup>nd</sup> and 3<sup>rd</sup> payments, UNEP-CAR/RCU will wait for the SO to solicit the disbursement of funds once the SO has reviewed the progress of the project up to that point.

## **5.9. Verification of Implementation of Projects**

In accordance with the calendar for implementation of the projects, the IO will inform the SO of the progress made and the dates for termination of the projects. The IO will verify the implementation of the projects. Also, if necessary, the IO will do a final evaluation once the projects have been completed. The IO will do everything possible to facilitate the supervision and evaluation of the projects.

## **5.10. Sustainability and Use of Resources**

The actions initiated and the processes supported by the BMP/SGP Project should continue of their own accord once the projects have been completed. These projects should complement local initiatives to help attain matching funds that permit the project to be sustained over time.

The BMP/SGP Project expects that, in addition to its own financial resources, that a monetary or in kind contribution will be provided, equivalent to 25% of the funds provided. To achieve this important involvement of additional sources of support, a strong coordination between different levels must be facilitated and an extensive identification and coordination with potential co-financers needs to be established.

Therefore, the following principles have been established:

### **5.10.31880. Extensive Inter-institutional Coordination**

The involvement in the regional, national, and local policies, regulations, and priorities requires involvement and relationships between the different entities. For this reason, the direct involvement of the SO in these activities is of the utmost importance. At the local level the Project will seek to establish mechanisms of coordination and information with the municipal governments and local NGOs. These

relationships will permit the optimization of the financial resources that the BMP/SGP Project contributes, reduce the risk of overlapping of work efforts, and maximize the possibility of coordination with local Programmes and incentives. All of this will positively impact the priority ecosystems of the Project.

#### 5.10.31881.Acquisition of Financial Resources

In adherence to its objectives, the BMP/SGP Project will promote co-financing of the projects so that the funding provided by the UNEP-CAR/RCU will be matched or even exceeded, either in kind or in monetary funds, by other organizations. To achieve this goal, the following operational mechanisms have been developed. The IO, with the support of the SO, will be the primary entity responsible for the implementation of these mechanisms:

5.10.31881.32560. Encourage and facilitate arrangements, agreements, and relationships between the base organizations and their different counterparts, such as local governments, NGOs, development projects, and the private sector that permit access to complementary financial resources.

5.10.31881.32561. The SO will facilitate the acquisition of the necessary information for the base organizations for identifying and managing complementary financial resources. Whenever possible, the coordinator can accompany these organizations in the negotiation processes.

### **5.11. Monitoring and Evaluation of the Projects**

In general, monitoring and evaluation refers to the processes of supervising and evaluating the progress and achievements of the projects. Monitoring and evaluation are two different processes, but are related and are normally characterized by overlapping procedures. Monitoring and evaluation are essential elements for the administration of the projects. The BMP/SMG Project bases its operations on the principle that only through participative monitoring and evaluation can the projects become learning processes that produce information that can be described and applied by the same participants.

Specifically, the activities of monitoring and evaluation aid the projects in meeting the established requirements, achieving sustainability, permitting replication of the projects, and providing opportunities for reproducing and communicating the lessons learned. Ideally, the results obtained or lessons learned from the processes of monitoring and evaluation will be utilized to improve the design and implementation of the BMP/SMG Project and the projects, and more specifically, allow the beneficiaries to continue with the activities of the projects long after the period of the financial subsidy has ended.

#### 5.11.45532.Monitoring System

The **basic components** of the monitoring system are:

5.11.45532.46212. The design and formulation of the project expressed in a logical framework that includes objectives, results, indicators, hypothesis, and risk factors.

5.11.45532.46213. The Annual Operating Plan (AOP) and the corresponding budget plan.

5.11.45532.46214. The timetable and calendar of activities.

5.11.45532.46215. The sources of information.

5.11.45532.46216. The recipients of information.

The resources necessary for collecting information and the time needed for follow-up activities must be taken into consideration when planning the project. In addition, the responsibilities and form of presentation of the results must be clearly established from the beginning of the project.

#### 5.11.45533. Indicators

The indicators are a collection of measurements of different aspects of the project that determine up to what point the expected results and objectives have been achieved during the implementation of the projects. They are expressed as the declared activities (quantity, quality, destination group, time, and location) of an aspect that exists at a specific stage of the project.

Therefore they represent one of the basic components of the follow-up system, since the measurements allow for the observation of advances and setbacks throughout the entire cycle of the project, by utilizing comparable terms and relating them to the intervention strategy. First and foremost, a fundamental consideration in the system of indicators is the distinction between objectives and results. Normally the indicators of the objectives refer to more general matters and questions and are of a broader nature whereas the indicators of the results are more specific.

The indicators constitute the principal factors that the project uses to define success at the different levels. However, those aspects in which the project provokes change (intentional or non-intentional) are not noticeable unless the measurements taken from the indicators are specifically included, as for example, the impact on gender relations.

Defining and producing the indicators contributes directly to the improvement of the formulation of the project. The results and objectives

can be defined with better precision by determining the mechanisms for measuring them and by analyzing how the activities can contribute to the completion of the objectives. For this reason, having a good system of indicators is essential. In addition to careful preparation of the indicators during the phase of formulation, the system for follow-up must also include set times during the course of the project for reviewing the group of indicators.

To achieve the goals of the BMP/SGP Project, the following preliminary indicators have been defined. These indicators must be included in all project proposals in addition to the other indicators of performance that the AO defines for each activity.

The SO, through its own technical team or local project promoters (those who lend their services to the project), will carry out the monitoring through an “in-situ” visit to the project site. The format to be utilized for preparing the Monitoring Report is attached in [Annex 9](#).

#### 5.11.45534. Post-Project Evaluation Plan

The objective of the Post-Project Evaluation is to determine whether or not a project has produced the desired effects on the people, homes, and institutions, and if those effects can be attributed to the intervention. The evaluations of impact, in general, also allow for examination of unforeseen consequences in the beneficiaries, both positive and negative. The Post-Project Evaluation is concerned with observable changes or variations in relation to:

5.11.45534.1. Contribution to satisfying needs.

5.11.45534.2. Promoting conditions for the improvement of quality of life.

5.11.45534.3. Causing changes in attitude, behaviour, etc.

5.11.45534.4. Observable changes or variations in the situational contexts in which the projects are applied that can be attributed to the presence of the projects.

Before carrying out the Post-Project Evaluation, it is necessary to take certain aspects into consideration:

5.11.45534.5. The Post-Project Evaluation is an assessment of the effects of a project on the development of a population or problem in question as compared to what would have had occurred during the same time period without the intervention of the project.

5.11.45534.6. The impact of the project, as detailed in the Logical Framework matrix, is the product of the results obtained.

5.11.45534.7. When applying the Post-Project Evaluation, is it necessary to consider other projects that were being carried out in the area of intervention of the Project. After that, each one of the impacts produced must be broken down and analyzed, with the goal of identifying the specific impacts produced exclusively by the project being evaluated.

5.11.45534.8. Conclusions and recommendations must be generated to be utilized in similar future projects.

5.11.45534.9. Not only is it important to examine the level at which the objectives were met, and the results and the impacts of the project, but also to analyze why these outcomes occurred.

5.11.45534.10. The format to be utilized for this Evaluation is attached in [Annex 12](#).

## **5.12. Communication and Public Awareness Strategies**

From the beginning, the principal goal of the Programme has been improving the condition of natural resources through the free circulation of information. The success of the Programme will be measured not only by the achievement of positive results in the implementation of the different projects, but also by the distribution and systematic socialization of these results

The objective of the communication strategy is first to make the primary local entities visible (give them exposure) and second to make the Programme itself visible (keeping in mind that this exposure can help to call the attention of potential future donors to help support the initiatives of the Programme). The information gathered and documented in the field, the progress reports, and other monitoring products constitute the primary material which will make up the information to be distributed.

To meet the goals of this Project, the communication strategy will be based on the distribution of the results, which will be documented through Case Studies. For the production of these Case Studies, the format included in [Annex 13](#) will be utilized. These documents, as well as any other similar type of document (manuals, guides, pamphlets) produced with the funds of the Project, will be published on the web page: [www.earth.ac.cr](http://www.earth.ac.cr) and on the website of UNEP-CAR/RCU. Also, the SO will organize an annual public event to present the studies generated by the Project as a part of its effort to gain additional recognition for the Project.

## 6.BUDGET AND FLOW OF RESOURCES

The projects or initiatives that the BMP/SGP Project finances must respond to threats to or needs for protecting or improving the management of locally important environmental resources. This applies the principal that there must be local action present for achieving a global impact. As well, opportunities in which marginalized populations, minorities, and isolated communities can be assisted will be preferred. Those projects which have a local counterpart or some kind of external co-financer to complement the BMP/SGP Project will be viewed positively.

### 6.1.Source of Resources

The BMP/SGP Project is in all aspects executed utilizing resources of Non-Refundable Financial Aid. The estimated total cost of the Project is US\$ 30,000, provided by UNEP-CAR/RCU. The maximum amount for each project will be US\$ 5,000. The SO will receive US\$ 2,000 for each project approved to cover administrative costs. In the following chart the timetable for payment of funding is specified according to the type of project (one year / two year), as well as the documents that must be presented for soliciting the corresponding payments of resources. In the case of the two- year projects, the time period for implementation of the financed activities should be no more than 15 months. The remainder of the time will be used for activities of monitoring and evaluation.

**Table 8.Classification of financial aids budgeted for the BMP/SGP Project.**

| EXECUTION AND EVALUATION OF THE PROJECTS |              |                 |                 |                                |                                 |
|--|--------------|-----------------|-----------------|--------------------------------|---------------------------------|
| Duration of Project                      | Payment      |                 |                 | Project End                    | Evaluation                      |
|  | 1            | 2               | 3               |                                |                                 |
| 1 YEAR                                   |              |                 |                 |                                |                                 |
| Time                                     | Month 0      | Month 6.5       | Month 10.5      | Month 12                       | Month 14<br>External Evaluation |
| IO Documents                             | MOU          | Progress Report | Progress Report | Narrative and Financial Report |                                 |
| \$ IO                                    | \$2000 (40%) | \$1500 (30%)    | \$1500 (30%)    | TOTAL: \$5000                  |                                 |
| 2 AÑOS                                   |              |                 |                 |                                |                                 |

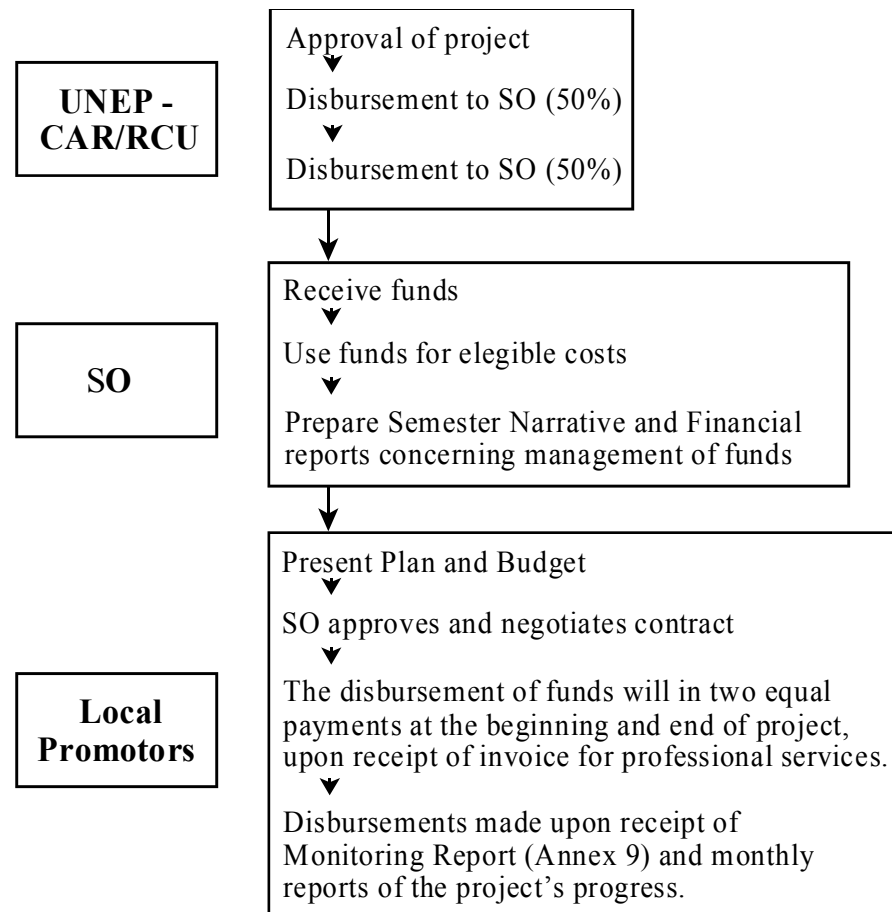
|              |              |                 |                 |                                |                     |
|--------------|--------------|-----------------|-----------------|--------------------------------|---------------------|
| Time         | Month 0      | Month 8         | Month 15        | Month 22                       | Month 24            |
| IO Documents | MOU          | Progress Report | Progress Report | Narrative and Financial Report | External Evaluation |
| \$ IO        | \$2000 (40%) | \$1500 (30%)    | \$1500 (30%)    | TOTAL: \$5000                  |                     |

In the case of financial support for the SO, UNEP-CAR/RCU will pay 50% (US\$ 1,000) of the agreed amount for the project upon signing the SO/MOU. The remaining 50% will be given out upon completing half of the time established for the implementation of the project (either 7 or 12 months, depending on the length of the project).

## **6.2.Administrative Costs**

### **6.2.48076.Description**

For the SO, each project approved represents an amount of \$2,000 in funding to cover administrative costs. These funds will be used to for control, supervision, and evaluation of the Local Promoters. The funds may also be used for paying for professional services for specific consultations, the production of Case Studies, and other operative costs that the Support Organization may encounter. The SO will present information concerning the use of these resources on a biannual basis.



**Figure 5. Flowchart for the use of resources set aside for covering operational costs**

The procedure for the use of these resources is as follows:

6.2.48076.1. UNEP-CAR/RCU: Payment to the SO of 50% of the amount agreed upon for administrative costs. The remaining 50% will be paid out to the SO at the halfway point of the project.

6.2.48076.2.Support Organization (SO): Produce biannual narrative and financial reports concerning the management of the funds allocated for the administration of the projects.

6.2.48076.3.Local Promoters (LP): The SO will hire professionals as needed to provide technical services of follow up and monitoring visits for the projects. The Terms of Reference for the LP are defined in [Annex 14](#). The LP will submit a timetable and budget for the proposed activities to be undertaken. Based on these documents the SO will negotiate the financial terms of the contract, which will include costs for payment of the professional services, travel expenses, insurance, etc ([Annex 15](#)). This payment will be made upon receipt of an invoice for professional services from the LP to the SO. The payment will be made in two sums of 50% at the beginning and 50% upon completion of the project. To receive these payments, the LP must have a regional bank account so the SO remit payment of the funds electronically. Both payments will be dependent on the receipt of the Monitoring Reports ([Annex 9](#)) and monthly progress reports of the project.

6.2.48077.Documentation: The SO is responsible for maintaining all documentation of the results of each project. The beneficiaries, IO, also must keep copies of all submitted reports, for a maximum period of 5 years. The originals of these documents must go to UNEP-CAR/RCU.

In the case of the operating costs, the SO will be responsible for compiling the information, which will be presented for the disbursement of funds in the agreed upon terms. The UNEP-CAR/RCU will maintain control of the balances for all components of the Project and corresponding categories of payments, and will carry out periodic reviews to guarantee that all transactions have been properly registered.

### **6.3.Audit**

The audits will conform to agreements reached in the IO/MOU. UNEP-CAR/RCU will designate an external auditor, who will be responsible for producing the auditing reports. The auditing reports must meet the national and international standards in the area of intervention. The SO will maintain the registers and accounts for the Project and will be responsible for keeping track of the information related to the finances of the Project to be presented to the external auditor.

The audit covers the entire operation of the BMP/SGP Project and not only the funding provided. The auditor will review and validate the eligibility of the investments and expenditures made using resources from the Non-Refundable Financial Aid, under the agreements of the SO/MOU and IO/MOU, as well as the economic and/or in kind contributions of the beneficiaries to the projects. The audit will take into consideration financial, legal, contractual, and operational aspects of the Project.

The financial statements of the Project are:

6.3.1. Statement of sources and uses of funds.

6.3.2. Statement of applications for and disbursement of funds.

6.3.3. Interim reports on the financial status of the Project.

6.3.4. Complementary information for the Project.

The SO will present the financial statements of the Project, including the opinion of the external auditor, to UNEP-CAR/RCU within a period of time of no more than six months after the completion of the fiscal operations.

The LP will provide the SO with all of the information that they require to compile the financial statements for the Project. They will also cooperate with the Project Coordinator (PC) in reviewing the actual progress of the Project. The beneficiaries will be required to facilitate the auditing process in any way that the SO requests, including, but not limited to, providing information and helping to supervise the subprojects financed through the BMP/SGP Project. All entities involved in the Project will be responsible for providing the materials for the audit, according to the activities in which they were involved.

## **PART FOUR: ANNEXES**

### **7. Announcements, Notifications, and Forms**

## **7.1. Announcement of Call for Proposals**

### **ANNOUNCEMENT OF CALL FOR PROJECT PROPOSALS**

#### **United Nations Environment Programme - Caribbean Environment Programme, Regional Coordinating Unit (UNEP-CAR/RCU)**

The United Nations announces the call for projects proposals of investigation and development that promote the use of Best Management Practices in the member countries of the Caribbean region. The Caribbean Regional Unit aspires to stimulate creative projects in which the environmental component is fundamental for implementing Best Management Practices oriented toward reducing contamination of the Greater Caribbean Basin.

#### **Objective**

The BMP/SGP Project will create small scale demonstrative pilot projects aimed at integrated systems of agricultural and livestock production. Some of the specific activities that will be included are the appropriate use of fertilizers, conservation of soils and retention of sediments, alternative methods of tillage and planting, management of agricultural wastes, and management of environmentally friendly livestock production. The objective of these demonstrative projects will be to promote innovative practices of agricultural and livestock production through its application in the field and also to distribute the results among other countries of the Greater Caribbean Basin.

#### **Participants**

Selected governmental agencies or other legally established foundations (NGOs, agricultural cooperatives, etc.) located in the Greater Caribbean Basin. The projects will be carried out on small-to medium-sized farms (2 to 10 hectares). Each demonstrative pilot project must be able to provide a cash or in-kind counterpart contribution.

#### **Presentation of Proposals**

The proposals must be presented in the format establish by UNEP-CAR/RCU, under the administration of EARTH University in Costa Rica. The format for the proposal can be acquired by direct request to the University:

Office of Research and Special Projects  
EARTH University  
P.O. Box 4442-1000  
San José, Costa Rica  
Telephone: 506-713-0000; ext 2901, or 506-713-0087  
E-mail: [proyectos@earth.ac.cr](mailto:proyectos@earth.ac.cr)  
Web page: [www.earth.ac.cr/BPM-SGP](http://www.earth.ac.cr/BPM-SGP)

Cut-off date for requests:

## 7.2. Project Presentation Form

### APPLICATION FORM

### United Nations Environment Programme – Caribbean Environment Programme, Regional Coordinating Unit (UNEP-CAR/RCU) BMP/SGP

The proposal can be submitted by electronic mail or by hard copy before the announced deadline.

#### 1. Project Title

#### 2. Organizational Information

Name of Applicant Organization:

Address:

Telephone Number:

Fax:

E-mail:

Contact Person:

Title of Contact Person:

#### 3. Preliminary Information (1 page maximum)

Provide background information explaining the causes of the problem, the impacts of the problem, actions previously taken to diminish the impact of the problem, and the justification for resolving the problem through the implementation of the proposed project.

#### 4. Project Objectives

Clearly define the desired outcomes of the project.

#### 5. Project Description (2 pages maximum)

Methodology for achieving the objectives.

Principal activities to be developed within the framework of the project.

Principal results, showing clearly demonstrating how they will help achieve the proposed objectives.

Support and other requirements for implementing the project (including the contributions of other institutions).

Logical Framework for the project.

#### 6. Administration and Implementation of the Project (1 page)

Explain how the project will be implemented and managed. Identify the Project Manager and the roles and experience of the personnel involved in the implementation of the project. Include a timetable for the project.

#### 7. Budget for the Project

Provide a list of goods and services required for successful implementation of the project and indicate the sources from which they will come. Include a quantification of in-kind contributions.

The proposal must be presented using the following table format.

| <b>ITEM</b>         | <b>Solicited from<br/>UNEP</b> | <b>Provided by the<br/>IO</b> | <b>Other<br/>contributions</b> | <b>TOTAL (US\$)</b> |
|---------------------|--------------------------------|-------------------------------|--------------------------------|---------------------|
| 1.                  |                                |                               |                                |                     |
| 2.                  |                                |                               |                                |                     |
| 3.                  |                                |                               |                                |                     |
| <b>TOTAL (US\$)</b> |                                |                               |                                |                     |

### **8. Project Evaluation**

Indicate the format that the organization will use for measuring how the objectives have been achieved. This chart must include both the mechanisms used for evaluation as well as the criteria for measuring the success.

| <b>Objectives of the Project</b> | <b>Indicator of Success</b> |
|----------------------------------|-----------------------------|
| 1.                               |                             |
| 2.                               |                             |
| 3.                               |                             |

### **9. Verification of the Contributions of the IO**

The IO must utilize a similar type of table to verify external contributions to the project. This includes the type of contribution to be given to project, the verifying indicators, and the approximate value of the contribution.

| <b>Type of Contribution</b> | <b>Indicator</b> | <b>Value</b>   |
|-----------------------------|------------------|----------------|
| Example: Secretary          | Hours Worked     | X amount of \$ |
| Example: Materials          | Photocopies      | X amount of \$ |

### **10. Supporting Documentation**

Most recent Annual Report  
 Recent Financial Statements  
 Business Plan or Strategic Plan of the Organization

### 7.3.Notification of Receipt

**NOTIFICATION OF RECEIPT OF PROPOSAL**  
**United Nations Environment Programme – Caribbean Environment Programme, Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

Project Identification No.

Date:

Project Title:

Applicant Organization:

Location:

Legal Representative:

Mr.

Legal Representative

Applicant Organization

Dear Sir:

Please allow this letter to serve as formal notification that the Office of Investigation and Special Projects, EARTH University, in its capacity as Support Organization (SO) for the implementation of the BMP/SGP Project, directed by UNEP-CAR/RCU, has received the project proposal entitled \_\_\_\_\_ on the date of \_\_\_\_\_ .

The proposal will be reviewed, with goal of ensuring that it meets all of the established requirements. The information related to the Applicant Organization (AO) will also be analyzed. In the case that any type of correction is necessary, or any additional information required, you will be contacted immediately. You will have a maximum time period of two weeks in which to resolve the situation. After the proposal has been completed correctly, it will be reviewed by the Project Revision Board, and a response will be sent during the calendar month following the date of receipt. If the Board recommends in favor of financing the proposal, it will be sent to UNEP-CAR/RCU for final approval. UENP-CAR/RCU will notify the SO of its decision during the course of the following calendar month, whereupon the SO will notify the AO immediately.

Thank you for your participation. We wish you success during the process.

Sincerely,

Signature

Employee

EARTH University

## 7.4.Preliminary Project Evaluation Sheet

**PRELIMINARY PROJECT EVALUATION SHEET†**  
**United Nations Environment Programme – Caribbean Environment Programme, Regional  
Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

†For use by the Project Review Board (PRP) of the SO.

|  |  |
|--|--|
| Documentation sent on<br>Fax received on<br>Evaluation returned on |  |
|--|--|

The evaluation of the projects will be based on the four criteria and various sub-criteria and assessed in the following manner.

The evaluating entity will assign a point scale of 0 to 10, with 0 as the lowest and 10 as the highest for each criterion. For each criterion the evaluator will justify the rating given with commentary, preferably no more than a half a page long. The projects must obtain a defined minimum score for each criterion to be considered for financing.

The scores for the different criteria will be reported in a summary chart and the weighted adjustments indicated will be applied to obtain the overall score of the project, as outlined in the following table:

| <b>Criteria</b>                        | <b>Minimum Score†</b> | <b>Weighted Adjustment</b> | <b>Total Minimum Value1‡</b> |
|--|-----------------------|----------------------------|------------------------------|
| Technical Content                      | 6                     | 3                          | 18                           |
| Relevance                              | 7                     | 2                          | 14                           |
| Probability of Success                 | 6                     | 2.5                        | 15                           |
| Probability of transference of results | 6                     | 2.5                        | 15                           |

† Range of the evaluation is from 0 to 10 points in which 0 is the minimum and 10 is the maximum.

1‡ Total Minimum Value = Minimum Score \* Weighted Adjustment

**CRITERION 1: TECHNICAL CONTENT**

| Subcriteria | Score | Comments |
|-------------|-------|----------|
| 1           |       |          |
| 2           |       |          |
| 3           |       |          |
| 4           |       |          |
| 5           |       |          |
| 6           |       |          |
| 7           |       |          |
| 8           |       |          |
| Total       |       |          |

Excellent: 9-10, Very Good: 7-8, Good: 5-6, Average: 3-4, Poor: 1-2

**Guide for the Evaluation of these Criteria**

- Is the objective of the project defined? Is its completion verifiable?
- Is the project in line with the existing knowledge on the subject?
- Has an ample knowledge of the relevant technical literature been demonstrated?
- Is the proposed work methodology adequate for the objectives of the project?
- Is the scope of the project clearly defined?
- Has there been a study of the technical indicators or accepted standards for determining the variables to be measured, compiled, or analyzed?
- In relation to the information to be collected and circulated, are the results of the project described with sufficient clarity?

**CRITERION 2: RELEVANCE OF THE PROPOSAL**

| Subcriteria   | Score | Comments |
|---|-------|----------|
| 1 Identification of the problem/objective in relation to the areas and themes of focus, and contribution of the project in resolving the problem/objective  |       |          |
| 2 Importance of the problem to be dealt with and contributions of the project   |       |          |
| 3 Identification of potential beneficiaries of the project results  |       |          |
| 4 Possible impacts on the competitiveness of the target segment, environmental impact, and social impact related to the strengthening of the capacities of the human resources in the area of opportunity |       |          |
| Total   |       |          |

Excellent: 9-10, Very Good: 7-8, Good: 5-6, Average: 3-4, Poor: 1-2

**Guide for the Evaluation of these Criteria**

- Is the project pertinent to the areas in question and to the themes within each area?
- Does the project demonstrate its relevance in relation to one or more of the following elements?
  - Economic competitiveness of the target national production sector.
  - Improvement of environmental conditions by controlling or reducing contamination.
  - Positive social impact in terms of employment or other measurable factors.
- Does the project contribute to the strengthening of the capacities of human resources in the area of opportunity?
- Are there potential users of the results of the project?

**CRITERION 3: PROBABILITY OF SUCCESS OF THE PROJECT**

| Subcriteria   | Score | Comments |
|---|-------|----------|
| 1 Previous experience of the Applicant Organization   |       |          |
| 2 Previous experience of those responsible for the project  |       |          |
| 3 In-kind or cash contributions of the organization   |       |          |
| 4 Environment in which the project is to be developed   |       |          |
| 5 Feasibility of the project  |       |          |
| 6 Ability of the project to meet its own needs financially, physically, and in terms of human resources |       |          |
| Total   |       |          |

Excellent: 9-10, Very Good: 7-8, Good: 5-6, Average: 3-4, Poor: 1-2

**Guide for the Evaluation of these Criteria**

- Is the previous experience of those responsible relevant and is the production team scientifically and technologically trained and knowledgeable?
- Has the proposed team carried out activities similar to those proposed in terms of the scope, methodology, and scientific and technological tools?
- Do the human resources proposed for the project meet the conditions of training and experience (each one for their own part) necessary for properly implementing the project?
- Is the person responsible for the project capable of directing it?
- Are there academic or institutional elements, or opportunities for international cooperation or business in the framework of the project?
- Is the dedication of each participant in the project sufficient for his/her role? Is their dedication adequate in relation to the scope of the project and the amount of time and effort proposed?
- Are the material resources proposed reasonable for the scope of the project?
- Is the necessary infrastructure available? Is it adequate?
- Are the proposed costs of labor, material resources and other expenditures reasonable?
- Are there any important unforeseen costs?
- In the case that the project includes items for which financing has not been solicited, are they already available or is there funding from an alternate source to cover the costs?
- Overall, how do you evaluate the probability that the project will successfully meet the proposed objectives?

| <b>CRITERIA 4: PROBABILITY OF TRANSFERENCE OF THE RESULTS OF THE PROJECT</b> |       |          |
|--|-------|----------|
| Subcriteria  | Score | Comments |
| 1  |       |          |
| 2  |       |          |
| 3  |       |          |
| 4  |       |          |
| 5  |       |          |
| 6  |       |          |
| Total  |       |          |

Excellent: 9-10, Very Good: 7-8, Good: 5-6, Average: 3-4, Poor: 1-2

### **Guide for the Evaluation of these Criteria**

- Is the objective of the project well defined? Is its completion verifiable?
- Does the team have previous experience in disseminating results in the production sector through transference of technology, production of studies oriented toward the sector, or other forms of similar contact?
- Does the team have previous experience in disseminating research results?
- Are there potential users of the results of the project? Have they been identified by the Applicant Organization? Is there any involvement of the potential users with the project through agreements and arrangements, financing, specific demands, material support, or other resources? Is the project related to other projects developed by the same group of potential users?
- Is there a potential production sector that may solicit and rapidly and easily adopt or utilize the results of the project?
- Does the project demonstrate the existence of a demand and an economic justification for the adoption of the proposed development or improvement?
- Are there forms of protection for intellectual property generated during the course of the project (patents, licensing, etc.) proposed?
- Supposing that the objectives are met, what is the probability of successfully marketing the technology or process developed?

**SUMMARY TABLE OF SCORES GIVEN TO THE PROJECT**

| <b>Criteria</b> |  | <b>Score given</b> | <b>Weighted Adjustment</b> | <b>Total</b> |
|-----------------|--|--------------------|----------------------------|--------------|
| 1               | Scientific-technological content       |                    | 3                          |              |
| 2               | Relevance                              |                    | 3                          |              |
| 3               | Probability of success                 |                    | 2.5                        |              |
| 4               | Probability of transference of results |                    | 2.5                        |              |
|                 | Total                                  |                    |                            |              |

**OVERALL OPINION OF THE PROJECT**

## 7.5. Notification of Project Approval

**NOTIFICATION OF PROJECT APPROVAL**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

Project Identification No.

Date:

Project Title:

Applicant Organization:

Location:

Legal Representative:

Mr.

Legal Representative

Applicant Organization

Dear Sir:

Please allow this letter to serve as formal confirmation that UNEP-CAR/RCU, in its meeting No. \_\_\_\_\_ for the review of projects related to Best Management Practices has decided that the proposal entitled \_\_\_\_\_ satisfactorily meets all of the criteria established for financing of the project by UNEP-CAR/RCU.

The BMP/SGP Project can therefore provide financial or technical assistance, for a maximum amount of US\$5,000. In the cases of technical assistance, UNEP-CAR/RCU reserves the right to final approval of the consultant and the person hired to provide said assistance.

In a period of no more than one month from this date, EARTH University, acting as the Support Organization (SO) will write a Memorandum of Understanding (IO/MOU) which will be approved by UNEP-CAR/RCU to be signed by EARTH University, UNEP-CAR/RCU and the representative of your organization. This document (IO/MOU) will establish the regulatory framework for the implementation of the project. UNEP-CAR/RCU will ensure that the payment of the funds takes place during a period of no more than one month after the signing of the IO/MOU.

Sincerely,

Signature

Employee

EARTH University

## **7.6.Memorandum of Understanding for Implementing Organization (IO/MOU)**

## 7.7. Project Progress Report

**PROJECT PROGRESS REPORT**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

### STEP 1: IDENTIFICATION OF THE ACTIVITY

#### IDENTIFICATION OF THE ACTIVITY UNDERTAKEN

At this point in the project, the name of the activity to be reported must be specified. The entity responsible for conducting the activity needs to be specified, and differentiated, if necessary, from the entity responsible for monitoring each of the previously defined activities. If at all possible, the people responsible and the institution they are working for need to be mentioned.

#### CALENDAR

At this point, the actual start date of each of the activities, the estimated time period for carrying out each activity, and their conclusion date must be defined.

|                            |
|----------------------------|
| Start date of the activity |
| Planned _____ Actual _____ |
| End date of the activity   |
| Planned _____ Actual _____ |

#### LOCATION

All of the departments, districts and/or provinces that are part of the area of intervention of the project must be mentioned, including the specific activity and/or work conducted.

| Activity No. _____ | Department | District |
|--------------------|------------|----------|
| Task 1             |            |          |
| Task 2             |            |          |
| Task 3             |            |          |

### STEP 2: ACTIVITIES AND TASKS

**DESCRIPTION OF THE ACTIVITIES AND TASKS**

Indicate the activities and tasks conducted during the period of time in question. Activities and tasks implemented during the period, as well as a quantification of progress or completion in relation to the Annual Operating Plan (AOP) (First Year) must be specified.

| Activity No. _____ | Description | Progress (%) |
|--------------------|-------------|--------------|
| Task 1             |             |              |
| Task 2             |             |              |
| Task 3             |             |              |
| Task 4             |             |              |
| Task 5             |             |              |

**OBSERVATIONS**

Indicate difficulties or unforeseen situations encountered. Specify in what way they affected the activities during the period and what changes that could be made during the next period to avoid further problems.

| Activity No. _____ | Problems or Obstacles Encountered |
|--------------------|-----------------------------------|
| Task 1             |                                   |
| Task 2             |                                   |
| Task.3             |                                   |
| Task 4             |                                   |
| Task 5             |                                   |

### STEP 3: FINANCIAL REPORT

#### FINANCIAL SUMMARY

At this point the funds budgeted from each of the funding source, and the exact amount of expenditures up to the date of evaluation, must be indicated. To visualize the progress of each of the activities and/or tasks in economic terms, the Completion Rate must be calculated using the following equation:

$$\text{Completion rate} = \frac{\text{Expenditures}}{\text{Total budgeted}}$$

| <b>Activity No. ____</b> | <b>Counterpart<br/>from IO</b> | <b>Budgeted<br/>Funding</b> | <b>Expenditures</b> | <b>Completion<br/>Rate</b> |
|--------------------------|--------------------------------|-----------------------------|---------------------|----------------------------|
| Task 1                   |                                |                             |                     |                            |
| Task 2                   |                                |                             |                     |                            |
| Task 3                   |                                |                             |                     |                            |
| Task 4                   |                                |                             |                     |                            |

#### **STEP 4: SUMMARY OF THE STATE OF THE ACTIVITIES**

Identify the principal problems that are affecting the implementation of the activities and tasks. Also, identify the appropriate actions that need to be taken to deal with these problems. Mention who is responsible for completing the appropriate actions and the timetable for implementing them (dates for adoption of the actions).

##### **PRINCIPAL PROBLEMS**

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_
- 4) \_\_\_\_\_
- 5) \_\_\_\_\_

##### **CORRECTIVE ACTIONS**

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_
- 4) \_\_\_\_\_
- 5) \_\_\_\_\_

Independent of the format the information must be:

appropriate

as succinct as possible while transmitting the essential information to the users

of high technical quality, adequate in terms of content, presentation, credibility and usefulness for the action

### STEP 5: COLLECTING THE INFORMATION

Determine the information that needs to be collected for each activity and/or task of the project with an indicator. Specify the methods for gathering the data, the respective sources of information (information about the existing database of reports), as well as the instruments employed (surveys, questionnaires, direct observation, etc.)

| <b>Activity No. ____</b> | <b>Indicator</b> | <b>Sources of Information</b> | <b>Method of Collection</b> | <b>Instruments Employed</b> |
|--------------------------|------------------|-------------------------------|-----------------------------|-----------------------------|
| Task 1                   |                  |                               |                             |                             |
| Task 2                   |                  |                               |                             |                             |
| Task 3                   |                  |                               |                             |                             |
| Task 4                   |                  |                               |                             |                             |
| Task 5                   |                  |                               |                             |                             |

### STEP 6: PLANNING

Indicate the activities corresponding to the following period of the Annual Operating Plan. Describe any modifications.

| <b>Activity No. ____</b> | <b>Progress and Observations</b> |
|--------------------------|----------------------------------|
| Task 1                   |                                  |
| Task 2                   |                                  |
| Task 3                   |                                  |
| Task 4                   |                                  |
| Task 5                   |                                  |

## 7.8.Request for Disbursement of Funds

**REQUEST FOR DISBURSEMENT OF FUNDS**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

Guácimo, Limón  
(Date)  
(N1 of \_\_\_\_\_)

Mr.  
UNEP-CAR/RCU  
Jamaica

Distinguished Sir:

Please allow this communication to serve as official notification that EARTH University, as the Support Organization (SO) for the BMP/SGP Project, has received the Progress Report for the Project titled: \_\_\_\_\_ implemented by the IO \_\_\_\_\_, in accordance with the IO/MOU No. \_\_\_\_\_. The document has been reviewed, revised and approved within the time period established for this process.

Therefore, we solicit the disbursement of funds in the approved amount of US\$ \_\_\_\_\_, payment No. \_\_\_\_\_, for the period from \_\_\_\_\_ to \_\_\_\_\_.

The funds should be transferred to the following bank account which has been opened specifically for the purposes of this project.

Bank:  
Branch:  
Name on the Account:  
Account Number:

Thank you.

Sincerely,

Signature  
Employee  
EARTH University

## 7.9. Monitoring Report

**MONITORING REPORT**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

|                                       |
|---------------------------------------|
| Project Title: _____                  |
| Coordinator: _____                    |
| Implementing Organization (IO): _____ |
| Date: _____                           |

|  |   |   |   |   |
|--|---|---|---|---|
| <b>MONITORING REPORTH</b>  |   |   |   |   |
| Project Title: _____   |   |   |   |   |
| <b>Identification of content of the project</b>  |   |   |   |   |
| The project endeavors to address certain existing needs and/or initiate new programs. The <b>status</b> of these needs, or as the case may be, the changes or modifications undergone both at the initiation of the project as well as at the termination, need to be assessed.  |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Justification and theoretical fundamentals</b>  |   |   |   |   |
| The project provides an initial justification, the <b>usefulness</b> of which must be evaluated. The way the theoretical information been utilized, as well as what changes have been made to the theoretical model during the course of the project, needs to be assessed. The use of bibliographic information also can be assessed in this section. |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>The contextualization of the project</b>  |   |   |   |   |
| The project includes an analysis of the situation in which it is being developed. Determine how the development has been <b>adapted</b> to the characteristics of the particular situation.  |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Definition of objectives and contents</b>   |   |   |   |   |
| Evaluate the <b>adequacy</b> of the formulated objectives and the defined contents, as well as the <b>consistency</b> between the predicted and achieved outcomes of the project.  |   |   |   |   |

|  |   |   |   |   |
|--|---|---|---|---|
| <b>MONITORING REPORTH</b>  |   |   |   |   |
| Project Title:   |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Plan of Action: Methodology</b>   |   |   |   |   |
| The initial proposal defined a methodology to be utilized. Determine the level of success which the technology related to Best Management Practices has been implemented   |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Actions carried out in relation to the development of each phase</b>  |   |   |   |   |
| The development of the project was set out in phases. The <b>level of achievement</b> reached needs to be determined and particularly relevant actions need to be cited.   |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Organization of the process</b>   |   |   |   |   |
| The project is developed in a certain time and place, the level of <b>adaptation</b> to these variables as either facilitating or limiting factors needs to be assessed.   |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Responsibility and participation</b>  |   |   |   |   |
| The responsibility of the participants toward the project in the areas of coordination and commitment are fundamental indicators for assessing the success of the project. How well each was completed needs to be determined. |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Learning and transference</b>   |   |   |   |   |
| The knowledge generated is being efficiently transferred to indirect beneficiaries.  |   |   |   |   |
| Observations   | 1 | 2 | 3 | 4 |
|  |   |   |   |   |
| <b>Financial Administration</b>  |   |   |   |   |
| All aspects of administration of funds have been undertaken according to approved criteria and have been completed efficiently during the established time periods.  |   |   |   |   |

|   |   |   |   |   |
|---|---|---|---|---|
| <b>MONITORING REPORTH</b>   |   |   |   |   |
| Project Title:  |   |   |   |   |
| Observations  | 1 | 2 | 3 | 4 |
|   |   |   |   |   |
| <b>Complementary contributions</b>  |   |   |   |   |
| Quantitative and qualitative assessments of the contributions of the IO to the project need to be determined.                             |   |   |   |   |
| Observations  | 1 | 2 | 3 | 4 |
|   |   |   |   |   |
| <b>Impact of the BMP promoted</b>   |   |   |   |   |
| If the promoted BMP practice has had a real impact on the reduction of contamination of the Caribbean Basin, it needs to be demonstrated. |   |   |   |   |
| Observations  | 1 | 2 | 3 | 4 |
|   |   |   |   |   |
| <b>TOTAL</b>  |   |   |   |   |
| <b>(%)</b>  |   |   |   |   |
| <b>Final observations of the evaluation</b>   |   |   |   |   |

HObservations: 1 = Never; 2 = Seldom; 3= Sometimes; 4= Never

## 7.10.Narrative Report Form

**NARRATIVE PROJECT REPORT**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

Name of project:

Person in charge of project:

Names of Participants:

Institution:

IO/MOU Number:

Starting Date:

Ending Date:

Period for Report - from:        to:

Date of report:

Signature:

Person in charge of Project:

## I. TECHNICAL REPORT AT TERMINATION OF THE PROJECT

### **1. Summarized description of the project and mechanism for its implementation**

- Description of original project.

- Summarized description of the project implemented and the mechanisms for its implementation, including explanations of modifications made on the original project.

| <b>2. Proposed objectives, results and activities and level of completion</b> |  |                                   |
|---|--|-----------------------------------|
| <b>General Objective<br/>Anticipated Indicators</b>                           | <b>General Objective<br/>Achievement of Indicators</b> | <b>% Level of<br/>Achievement</b> |
| <b>General Objective<br/>Anticipated Indicators</b>                           | <b>General Objective<br/>Achievement of Indicators</b> | <b>% Level of<br/>Achievement</b> |

## **II. RESULTS**

| <b>Expected Results<br/>Anticipated Indicators</b> | <b>Results Obtained<br/>Achievement of Indicators</b> | <b>% Level of<br/>Achievement</b> |
|--|---|-----------------------------------|
|  |   |                                   |

**III. PLANNED ACTIVITIES AND LEVEL OF ACHIEVEMENT**

| <b>Planned Activities</b> | <b>Achieved</b> | <b>Not<br/>Achieved</b> | <b>Partially Achieved<br/>(%)</b> | <b>Rejected</b> |
|---------------------------|-----------------|-------------------------|-----------------------------------|-----------------|
|                           |                 |                         |                                   |                 |

**IV. OBJECTIVES, RESULTS, AND ACTIVITIES REALIZED, BUT NOT ANTICIPATED  
IN THE ORIGINAL PROJECT**

|   |
|---|
| <p>Unanticipated objectives:</p><br><br><br><br><br><br><br><br><br><br><p>Unanticipated results:</p><br><br><br><br><br><br><br><br><br><br><p>Unanticipated activities:</p><br><br><br><br><br><br><br><br><br><br> |
|---|

**V. OBSERVATIONS ABOUT THE ACCESSIBILITY, RELIABILITY, AND SCOPE OF  
THE PROPOSED SOURCES TO VERIFY OBJECTIVES AND RESULTS**

| <b>Source for Verification</b>  | <b>Observations</b> |
|---|---------------------|
| <p>Objectives:</p><br><br><br><br><br><br><br><br><br><br><p>Results:</p><br><br><br><br><br><br><br><br><br><br> |                     |



## **VII. ASSESSMENT OF THE PROJECT IMPLEMENTATION AND ABERRATIONS**

Objectives:

Results:

Activities:

Risks and Presumptions:

Costs Incurred:

Counterpart Contribution:

Efficiency of the mechanisms for implementation, financing and cost control:

Level of participation of the beneficiaries:

Environmental impact:

## **II. RELATIONSHIP BETWEEN THE VERIFICATION SOURCES PRESENTED IN ANNEXES, AND THE ORIGINAL PROPOSAL JUSTIFICATION\_**

Attached sources:

Non-attached sources:

### **IX. DECLARATION OF PERSON IN CHARGE**

The person(s) that sign(s) below as the one(s) technologically and administratively in charge of the implementation of the project (IO/MOU Number/Year) (Name of Project) and the representative of the IO (name) declare that the data included in this Final Report, as included in the obligations set forth in the IO/MOU, are correct.

\_\_\_\_\_  
Project Coordinator

\_\_\_\_\_  
Project Administrator

## **7.11. Financial Report Form**

**GUIDE FOR PRESENTATION OF FINANCIAL REPORTS**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

### **1. Project References**

Fill out the financial summary sheet.

### **2. Detailed Financial Report**

Present a detailed report on all costs and acquisitions in accordance with the requirements and criteria of the IO/MOU.

### **3. Supporting Paperwork for the Report**

Annex the original of each of the bills and/or notes of payment for the acquisition of goods. Keep copies of all documentation.

### **4. Signatures**

Include signatures off the Project Manager and the person in charge of the Project endorsing the Report.

### **5. Turn in the Report in the original format.**

**FINANCIAL REPORT**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

Project Name:

Person in charge of project:

Names of Participants:

Institution:

IO/MOU Number:

Period for Report: from:        to:

Date of Report:

| SUMMARY TABLE             |                               |              |                       |                             |
|---------------------------|-------------------------------|--------------|-----------------------|-----------------------------|
| Concept                   | Amount Authorized<br>(IO/MOU) | Expenditures | Balance<br>Difference | Additional<br>Contributions |
| Professional<br>Service   |                               |              |                       |                             |
| Exchanges                 |                               |              |                       |                             |
| Training                  |                               |              |                       |                             |
| Materials and<br>Supplies |                               |              |                       |                             |
| Administrative<br>Costs   |                               |              |                       |                             |
| Others                    |                               |              |                       |                             |
| <b>TOTALS</b>             |                               |              |                       |                             |

\_\_\_\_\_  
Project Coordinator

\_\_\_\_\_  
Project Administrator



## 7.12. Post-Project Evaluation

**POST-PROJECT EVALUATION**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

Title of the proposal:

IO/MOU Number:

Author(s):

Date of assignment:

Date of review:

Reviewed by:

### I. EVALUATION OF PROJECT CONTENT

1. Opinion about each of the three following sections of the research proposals.

| Justification for the Problem | Objectives           | Methodology          |
|-------------------------------|----------------------|----------------------|
| Adequate                      | Adequate             | Adequate             |
| Inadequate                    | Inadequate           | Inadequate           |
| Suggest Modification          | Suggest Modification | Suggest Modification |

2. Does the proposed research fall in line with the general objective of the UNEP-CAR/RCU Program?

Yes

No

If no, go to section **III**.

3. Do you have any specific comments about the proposal?

Yes

No

4. If the answer to question 3 was yes, please indicate:

- a) The nature of your comments.
- b) The part of the proposal about which you wish to comment (Use additional sheets of paper if necessary).

| Form/Style                    | Content                      |
|-------------------------------|------------------------------|
| Justification for the Problem | Justification of the Problem |
| Objective(s)                  | Objective(s)                 |
| Methodology                   | Methodology                  |
| Budget                        | Budget                       |

## II. EVALUATION OF THE ADMINISTRATIVE ASPECTS

Administration of the project:

The administration WAS effective in implementing the project.  
 The administration WAS NOT effective in implementing the project.

Comments:

---



---

—

## III. RECOMMENDATIONS

Recommendations about other similar projects presented to the UNEP-CAR/RCU Program:

CONTINUE with similar proposals, but review the following points:

- Justification for the problem
- Objectives
- Methodology
- Budget

DO NOT CONTINUE with similar proposals

## IV. LESSONS LEARNED

In this section indicate the most important points of the project that can serve as a basis for future proposals. Indicate the encountered problems and the proposed solutions, focusing on the appropriate use of the resources available for the project.

### **7.13. Case Studies Form**

**FORM FOR CASE STUDIES FOR UNEP-CAR/RCU PROJECTS**  
**United Nations Environment Programme – Caribbean Environment Programme Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**

The Case Study includes two phases: a) writing of the case, b) analysis of the case. In the first phase, the writing must include a clear description of a real situation that can be utilized for training in the area of environmental strategy and management. The case should illustrate the implementation of a process or system of administration; it should not be an explanation of the adequate or inadequate way of conducting the process or system.

The analysis phase consists of a group discussion process in which options and/or recommendations are posed on how to resolve the problem. In this phase there needs to be an experienced facilitator directing the discussion in an organized manner to illustrate the most important themes within the case. It is recommended that the facilitator have an explanation guide for the Case so that s/he completely understands the theme to be discussed and can define the scope of the discussion for the participants. The following is a description of the components of both phases.

## **I. STRUCTURE OF THE CASE**

### Executive Summary:

It must have the essence of an experience to be shared. A general description of the activity and its physical environment, as well as the expected results should be included.

### Analysis of the Environment:

Describe the environment in which the activity is being developed, as well as relevant information about the situation there. For example, if it is in a situation related to the agricultural sector, some macro- and micro-economic indicators about the activity described should be included.

### The Experience:

Provide a description of the experience being studied, as well as its place within the commercial sector to which it pertains. Indicate the beginning, the vision and the mission of the experience.

### Development:

Include a brief description of the problem and questions, how the organization develops the technology to be applied, how tendencies and habits are to be/were changed as a result of implementing the Best Management Practices, and what the immediate impacts have been for the organization and other beneficiaries linked to the process. The development must provide sufficient information for the reader to be able to correctly identify the problem.

### Important Aspects for Decision-Making:

Add any relevant information for the decision-making process or for the organization of community in dealing with the problem by implementing Best Management Practices. With this, the reader should be able to make his/her own decision on administering one or more options for the analysis of the case, as well as in defending a possible solution to the problem.

### Pending Questions or Tasks:

The case must have a series of questions or tasks to be dealt with in resolving the Case Study. In some cases, the reader does not have all the desired information available, but case should permit the reader to infer the relevant information without having to be an expert on the subject. In this context, using the information supplied, the reader ought to be able to offer various options for resolving the problem described in the situation.

### Annexes:

The purpose of the annexes is to include important supporting information for the general description of the case. The reader needs to have a clear idea of the principal activities of the organization and its relationships with other businesses of the same sector. The annexes need to contain general information about the sector as well as more specific information about the organization/business. This information allows the reader to offer options, and their advantages and disadvantages, to make recommendations or provide solutions to resolve the case.

## II. DEVELOPMENT OF THE CASE

The case does not have only one solution. Therefore, the facilitator needs to define the extent of the implementation of the case prior to its initiation. If possible, the facilitator should encourage discussion with the beneficiaries about the experience, to expand the scope of the study.

The recommendation for a strategy or possible solution depends on the situation under analysis. Nevertheless, there are certain guidelines that must be followed for enriching the discussion of the case. The key point for the recommendation comes from a well-defined definition of the problem to be resolved, through an analysis of the situation in which the problem has developed. The following chart summarizes some steps that could help the facilitator define the scope of the discussion of the problem.

| <b>Theme</b>                     | <b>Actions</b>   |
|----------------------------------|--|
| 1. Vision                        | Establish the vision and long-term direction of the experience.  |
| 2. Goal and objectives           | Establish the goal.<br>Establish objectives.   |
| 3. Current situation             | Summarize the current situation of the experience.   |
| 4. How did this situation arise? | Provide relevant historical information.<br>Mention original suppositions that are no longer valid.  |
| 5. Available options             | Establish the different options for resolving the problem.<br>Analyze the advantages and disadvantages of each option.<br>Determine the resources necessary for each option. |
| 6. Recommendations               | Recommend one or two of the options.<br>Summarize the results expected if things go as planned.  |
| 7. Define actions                | What to do now?<br>Define a plan of action.<br>Put people in charge of actions.  |

## **7.14. Terms of Reference for the Local Promoter**

### **TERMS OF REFERENCE, LOCAL PROMOTER**

#### **United Nations Environment Programme – Caribbean Environment Programme, Regional Coordinating Unit (UNEP-CAR/RCU) BMP/SGP**

### **Objective of the Position**

To support and supervise the implementation of the BMP/SGP Projects directly and personally in the communities in which they are being developed.

### **Functions**

- \$ Supervise the physical and financial progress of the project.
- \$ Plan bimonthly supervisory visits in collaboration with the IO implementing the project.
- \$ Verify that the IO has submitted the necessary documentation to the SO: Reports.
- \$ Submit copies of all documentation related to the site visits (log book, visit reports, etc) to the SO.
- \$ Verify that activities related to transference of knowledge (training) are being conducted.
- \$ Gather supplementary information concerning the implementation of the project that can serve as a component for the development of the case study.
- \$ Approve the applications for disbursement of funds according to the timetable for the project.
- \$ Verify the counterpart contributions on the part of the IO.
- \$ Recommend suspension or termination of the project if violations of the IO/MOU are encountered.
- \$ Lend technical support to the communities in the implementation of their projects, including organizing basic training sessions, according to the needs expressed by the communities.

### **Profile**

- \$ Agricultural Engineer or similar profession.
- \$ Experience in supervising projects at the community level, particularly in rural areas.
- \$ Knowledge and experience in implementing and utilizing verifiable participative methodologies.
- \$ Available for periodic travel to the zone in which the project is being conducted.
- \$ Knowledge and understanding of Microsoft Office (Excel, Word, etc).
- \$ License to drive.

### **Products to Submit**

- \$ Reports every two months about the progress of the project and the types of support given.
- \$ Evaluation of the project.

**Time Period for the Work**

The job will be for one year, commencing on the start date of the project, at 1/8 time. The verification of completion of the requirements of the contract will be the submission of the products (reports, etc.) within the allotted time periods.

## 7.15. Professional Services Contract

**PROFESSIONAL SERVICES CONTRACT FOR A DETERMINED PERIOD OF TIME**  
**United Nations Environment Programme – Caribbean Environment Programme, Regional**  
**Coordinating Unit (UNEP-CAR/RCU)**  
**BMP/SGP**



The undersigned, José A. Zaglul Slon, adult, married, Doctor of Philosophy, resident of Guácimo, bearer of identification number 2-252-455 (two - two five two - four five five), in the capacity of the GENERAL PERSON IN CHARGE WITHOUT LIMITS OF THE *ESCUELA DE AGRICULTURA DE LA REGION TROPICAL HUMEDA*, identification number 3-007-078951-35 (three - zero zero seven - zero seven eight nine five one – three five), from here on known as EARTH, and \_\_\_\_\_, identification number \_\_\_\_\_, from here on known as CONSULTANT; agree to the present CONTRACT FOR PROFESSIONAL SERVICES, from here on known as the CONTRACT, to which the following clauses will apply in the governing thereof:

First: The CONSULTANT agrees to provide services to fulfill the following functions:

- Completely meet the conditions and requirements of the Terms of Reference.
- Conduct the tasks indicated in the preceding clause at a professional level, with quality and commitment, and within the previously established time periods.
- Present reports of work completed according to that which is indicated in this contract.
- Abstaining from any act that implies or leaves to guess that he/she is a representative of EARTH.
- Not revealing personally or through a mediator to a third party any total or partial conclusions or recommendations or any other form of confidential information that could hurt the institution.
- Abstaining from infringing in any way the rules and obligations or overstepping the boundaries that correspond to the present contract without the previous written consent of EARTH.

Second: The CONTRACT of the CONSULTANT is valid from \_\_\_\_\_, 200- to \_\_\_\_\_, 200- . As this contract applies only to the time period indicated, the services provided also apply only to this time period, and for this reason the hiring is subject to the norms and regulations of work contracts for a determined period of time.

Third: The CONSULTANT will ensure that s/he has the experience, knowledge, abilities, skills, and aptitude required and indispensable for the performance of the consultancy. S/he commits him/herself to accomplish the labors with efficiency, accepting that if these obligations are not completely met, EARTH reserves the right to rescind the present CONTRACT.

Fourth: The CONSULTANT will receive during the course of this contract a monthly sum of \_\_\_\_\_, paid bimonthly.

Fifth: Under no circumstance will the CONSULTANT be considered an employee of EARTH. All parties expressly recognize that the CONSULTANT will not be submitted to labor subordination and will lend his/her services autonomously and independently. The CONSULTANT is required to meet all legal obligations, according to Costa Rican law. In addition, the CONSULTANT releases EARTH of all legal responsibilities related to him/her and recognizes that EARTH cannot be held accountable for any incompleteness of legal responsibilities, voluntary or involuntary, nor for any damages caused to third parties, whether or not they are derived from the present contract.

Sixth: It is in the nature of this contract, which is governed by the conditions of contracts for Professional Services for a Determined Period of Time, that EARTH will not provide any payment for notice of contract termination, severance pay, Christmas bonus, or vacation.

Seventh: All provisions in the Law of the Creation of EARTH University, and all its statutes, apply to this contract.

Eighth: All parties will utilize the city of San José as the base for all legal aspects of the present CONTRACT, which will be valid from the date of \_\_\_\_\_, 200- forward, during which the services of the CONSULTANT will be provided to EARTH.

In affirmation of the aforementioned, signed in Las Mercedes de Guácimo, at 8:00 am on \_\_\_\_\_, 200- .

P/EARTH

P/CONSULTOR

\_\_\_\_\_  
Dr. José A. Zaglul S.

\_\_\_\_\_  
CONSULTOR