



# SUSTAINABLE FORESTS AND LIVELIHOODS (SUFAL) PROJECT

## INNOVATION GRANT MANUAL

(Improve collaborative forest management and increase access to alternative income generation activities for forest-dependent communities)

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BANGLADESH FOREST DEPARTMENT  
MINISTRY OF ENVIRONMENT, FORESTS AND CLIMATE CHANGE



Sustainable  
Forests And  
Livelihoods Project



THE WORLD BANK

## Abbreviation

ACF	Assistant Conservator of Forest
ANR	Assisted Natural Regeneration
APD	Assistant Project Director
BFD	Bangladesh Forest Department
CCF	Chief Conservator of Forest
DCCF	Deputy Chief Conservator of Forest
DFO	Divisional Forest Officer
DPD	Deputy Project Director
EMMP	Environmental Mitigation and Monitoring Plan
GRC	Grant Review Committee
IAS	Invasive Alien Species
IEE	Initial Environmental Examination
IGM	Innovation Grant Manual
NTFP	Non-timber Forest Product
PD	Project Director
PMU	Project Management Unit
RPEC	Research Proposal Evaluation Committee
SIG	SUFAL Innovation Grant
SUFAL	Sustainable Forests and Livelihoods

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## **1. SUFAL INNOVATION GRANT PROGRAM**

In this new millennium, society is fast becoming knowledge based. Scientific and technological knowledge, experience and expertise on forestry have become the crucial element in the forest ecosystem production and services that leads to play a significant role to improve the forestry sector in general and livelihoods of forest dependent communities in particular. SUFAL Innovation Grant (SIG) program is a funding opportunity under the Sustainable Forests and Livelihoods (SUFAL) project with its unique nature of arrangement to provide funding opportunity for conducting scientific and technological research on forestry for individuals and institutions. SIG support is expected to contribute towards creating knowledge and achieving the goal of strengthening institutions, information systems and training. Along with providing support and services to conduct research on climate change impact on forest and biodiversity conservation, it will contribute to develop qualified mass of professionals in the areas of forest science and technology. The research and academic institutions will be able to derive spin off benefits from these researches for the M.Sc., M Phils and PhDs program.

### **1.1 Objectives**

The overall goal of the SIG program is to provide resources to individuals and institutions covering researcher and academicians of public and private institutions, national and local organizations to strengthen institutions, private companies, information systems and training which will facilitate to improve collaborative forest and PA management in Bangladesh. However, to achieve the main goal, following specific objectives were set to select research program for funding under SIG:

- ❑ To build up knowledge base of forestry science and technology in gap areas of national interest, more particularly ecosystem based collaborative forest and PA management and biodiversity conservation;
- ❑ To address the serious unsolved management technical issues applying research and experimentations of forestry sector particularly on forest biodiversity through joint collaboration of forest dependent communities and Bangladesh Forest Department;
- ❑ To develop human resource in critical areas of forestry giving impetus to fellowship program and further development of the programs for MS or equivalent degree/MPhil/PhD within the country;
- ❑ To provide supplementary support for research and development related activities in forestry sector;
- ❑ To promote international, regional scientific program for effective collaboration with scientific communities abroad in areas of Forestry with national interest;
- ❑ To improve forest biodiversity through joint collaboration of forest department, research institute/companies in the public and private and local communities; and
- ❑ To improve institutional research capacities of public and private universities and Forestry research entities that will contribute to a greater understanding of climate change impact on forest and biodiversity conservation, natural resources management (NRM), forest and biodiversity conservation through collaborative management.

## **1.2 Purpose of the SUFAL Innovation Grant/s**

The main purpose of this grant is to provide partial or full fund for proposed and agreed research project under specific ‘call for research proposal’ under the Sustainable Forests and Livelihoods (SUFAL) Project, Bangladesh Forest Department (BFD). At least 30% of the recipients of a SIG should be female.

To support climate change related research on forest management and conservation, Sustainable Forests and Livelihoods (SUFAL) Project will also award individuals and organizations with SIG for applied research by following policies or guideline outlined in this innovation grant manual. Under SIG funding, SUFAL project will target national organizations, public and private universities, research organizations, national and international NGOs, including implementing partners, to develop their capacity so that they will be capable of managing direct funding from other sources.

In order to evaluate and short list of qualified research proposals for funding a Research Proposal Evaluation Committee (RPEC) under SIG, will be formed by the Project Director, SUFAL Project. After evaluation of all research proposal by the RPEC, short-listed research proposals will be placed to the Innovation Grant Review Committee (GRC), who will recommend for awarding for SIG under SUFAL project. Detail composition and terms of reference of RPEC and GRC are presented in the following sections.

## **1.3 Purpose of the Innovation Grant Manual**

As per signed financing agreement of Sustainable Forests and livelihoods (SUFAL) Project between People’s Republic of Bangladesh and International Development Association (IDA), innovation grant manual (IGM) is referred to in Section I.E of Schedule 2 of the agreement, containing detailed criteria, arrangements and procedures for financing SIG. This IGM is to be prepared to outline the terms and conditions to review, appraise and administer selected innovation grant’s proposals to be funded under innovation window of the project.

Preparation of this IGM is also become part of the withdrawal condition of the project. It was agreed that the offered innovation grant will be administered under a sub-grant agreement with the respective selected beneficiary under terms and conditions acceptable to the Association. The terms and conditions include, inter allia, the Beneficiary’s obligations to: (i) carry out the innovation grant with due diligence and efficiency and in accordance with sound technical, economic, financial, managerial, environmental and social standards and practices satisfactory to the Association; (ii) to maintain policies and procedures to enable it to monitor and evaluate the progress of the innovation grant in accordance with indicators acceptable to the Association; (iii) prepare financial statements in accordance with consistently applied accounting standards acceptable to the Association; (iv) procure the goods, works and services to be financed out of the innovation grant in accordance with the provisions of financial agreement; (v) complete the carrying out of the activities financed by the innovation grant

before the closing date; (vi) maintain policies and procedures to enable to monitor the progress of the activities financed by the innovation grant and the achievement of its objectives; (vii) abide by, and comply with, the terms and conditions of the ESMF, as applicable; and (viii) accept physical or documentary inspection by the Association, in relation to the carrying out of the activities financed by the innovation grant;

This manual is a guiding document for managing the SIG under SUFAL project. The main theme of this manual focused on the following SUFAL project statement and the stated specific objectives set for the SIG:

*“An Innovation Window will fund proposals related to climate change and forests and biodiversity conservation or other topics that support the objective of SUFAL, from individuals, companies, educational institutions, NGOs, etc.”*

This manual will explain the implementation arrangement by covering institutional arrangement, review and appraisal of research proposal with specific terms and conditions to facilitate the scopes of applied research in the field of impact of climate change on forest and biodiversity conservation, choice of species for future considering changing climate, cultural practices of forest, nursery techniques and management wood and non-wood processing technologies, biodiversity conservation, wildlife management or other relevant topics to achieve the objectives of SUFAL project. The manual also provides, open window for proposals from individuals, Master/MPhil/PhD researchers, educational institutions, NGOs and private companies.

The manual is illustrating the innovation management activities particularly procedure for applying, modalities for selection, administering, monitoring, reporting, verifying and accounting procedures for every research grant under the innovation grant of SUFAL project. By and large, the manual is conceptualized and developed to ensure implementation arrangement of SIG for identifying innovations that brings in environmental and social benefits and also helps community to reduce their reliance on forest resources. Innovation grant will follow a transparent and accountable process.

#### **1.4 User of This Manual**

The primary audience of this manual is individuals and institutions who are interested in availing opportunities of innovation window under SUFAL project. This manual is also a guiding document for project staff, the field-based staffs, and the implementing partners who have been involved in the implementation of the SUFAL project.

Members of the Research Proposal Evaluation Committee (RPEC) and Innovation Grant Review Committee (GRC) will also use this manual. It may be mentioned here that RPEC will be engaged in grant management and monitoring research progress as required. This committee for grant management will arrange a number of pre and post award workshops and training program for the successful research grantees on the following topics. SUFAL PMU may

outsource following trainings and workshop programs to private consulting houses with similar expertise.

- Workshops on Innovation grant proposal development (include SUFAL Innovation grant strategy, IEE, Cost share, Budget and Work plan preparation, Proposal development guides, selection procedures, etc.)
- Post-award training on Innovation grant and financial management (include fund disbursement, field implementation and monitoring, accounting, technical and financial reporting, branding/marketing, environmental mitigation and monitoring, procurement, compliances, HR/Administrative issues, etc.)

### **1.5 Legal Basis or Policy Implication**

Section 12 of the Constitution (Fifteenth Amendment) Act, 2011 (Act XIV of 2011) provides a new Article 18A to safeguard the natural resources, biodiversity, wetlands, forests and wildlife for the present and future citizens.

Any Innovation grant application must be adhered to the major laws, acts and policies for forestry sector of Bangladesh particularly the Forest Act 1927, Forestry Sector Master Plan for 2017-2031 (drafted in 2016), Forest Policy 2016 (draft), Wildlife (Conservation and Security) Act, Bangladesh 2012, Forest Investment Plan 2017, a recent GoB gazette to ban felling in natural forests through 2022, Social Forestry Rules 2004 (amended through 2011), Protected Area Management Rules, 2017 etc.

The Brick Burning (Control) Act enacted for the first time in July 1989 to ban firewood for brick burning that has been substituted by the Brick Manufacturing and Kiln Construction (Control) Act, 2013 (Act No. 59 of 2013) with effect from July 1, 2014 to meet the current context. Enforcement of these laws is weak, primarily due to the lack of adequate and skilled man power and also inadequate financial support. Lack of coordination with law enforcement agencies and local administration further aggravates the situation.

## **2. STRATEGY AND CRITERIA FOR INNOVATION GRANT SELECTION**

The SUFAL Innovation grant program will contribute in strengthening research skills and will build the capacity of Bangladeshi individual/s and government and non- government organization (s) and public and private companies to improve their ability to conserve and improve biodiversity. Each of the innovation grantee required to contribute in the conservation of forest ecosystems or develop approach, methods, tools and technology towards sustainable conservation of forest resources. Therefore, the Innovation grant program will:

- Strengthen collaboration among forest department, public and private universities, Government and non-government research institutions, local communities, private companies and other GO-NGO stakeholders to protect and regenerate forest biodiversity.
- Build the capacity of local stakeholders within SUFAL project areas and conduct relevant research and contribute to the larger body of knowledge towards SUFAL objectives;
- Address knowledge gaps by using research techniques and methods to understand the value of ecosystem services and improve conservation management that support adaptation to climate change in forestry sector.

However, for ensuring the practicability of the programs all field-based proposals need to be endorsed by Divisional Forest Officer (DFO) of the territory where the research will be conducted and then the proposal will be submitted to and endorsed by Project Director (PD) (for GRC and RPEC).

### **2.1 Strategy**

SUFAL project will provide SIG to selected beneficiaries who represents individual or researchers from the government or non-government academic and research institutions, registered social group, cooperatives, foundation, private companies and CBOs and come up with real innovative ideas to improve forest ecosystem health and yield (through collaborative management and other livelihood activities, alternative fuel or energy which really divert peoples energy demand from forest to other renewable option such as biogas, bioenergy) to implement climate change adaptation and forest conservation activities that improve forest ecosystems services. All beneficiaries will be administered under a sub-grant agreement with terms and conditions acceptable to the Association.

Researchers (potential SIG beneficiary) for field-based research will collaborate with concerned DFO while identifying the areas of research and interventions to apply for SIG. Concerned DFO will collect comments and suggestion from concerned Range and Beat offices



where necessary. Similarly, researchers interested in policy based research will collaborate with Project Director or Deputy Project Director of SUFAL Project while identifying area of research to apply for SIG. SUFAL PMU will announce call for research proposal for SIG. The research proposal format developed under this manual (See Annex I to IV) need to be used while applying for SIG. The research proposal format includes four annexures on personal information of researchers, research proposal, budgetary outline and innovation grant contract. Maximum duration of research proposal will be two years only.

## 2.2 Themes or Research Areas

The natural forests in Bangladesh are not uniformly distributed and concentrated only in the 12 districts, however, Forest Department is pursuing Social Forestry activities in rest of the districts. While 28 densely populated districts don't have any forest area. Having extreme anthropogenic pressure with large population density in a relatively small land surface, Bangladesh has been experiencing continuous degradation of forest both in quantity and quality. As a consequence, provisions of goods and services from forest land reduced significantly over the year. The forest ecosystem has been modified by anthropogenic influence, especially by the change of land uses. Ever increasing use and dependence on limited forest goods and services by the fast-growing population are the main problem. Hence, it is apparent that the key problem lies outside the forestry sector. Associated problems including those within the forestry sector such as declining productivity and sustainability of forest resources are manifestations of the main problem. In these socio-economic circumstances, climate change (CC) appears as an additional and emerging threat for sustainable forest management (SFM).

SIG gives priority to SUFAL innovation theme: Climate change impact on forest and biodiversity conservation, livelihood diversification leading to reduced dependency on forest ecosystems. Potential areas of intervention that could be funded through SIG may include, but not limited to the following broader themes.

Themes	Description
Collaborative Forest Management- hill, plain, coastal biodiversity conservation; Forest governance and Institutions Collaborative Forest Management Approach	BFD still lacks the resources capability, and skilled manpower for sustainable management, monitoring and coordinating with other ministries and agencies. It does not have representation with qualified professionals at Upazila and district levels. Hence, coordination with other agencies suffers. One forest guard is responsible for patrolling on an average 1430

Themes	Description
	<p>hectare of forests in Bangladesh compared to 500 hectares in India. It is impractical to monitor and control such a large forest area which is freely accessible from all sides. Forestry is specialized technical professional discipline which requires both academic and technical understanding on ecosystems dynamics and forests resources. It is urgently come up with institutional framework under which BFD can work with forest dependent communities in a collaborative approach so that their dependence on forest ecosystem may be reduced or diverted to other livelihood practice and enhance their income.</p>
<p>Impacts of climate change on forest, forest species and biodiversity</p> <p>Choice of species for future</p>	<p>As the global climate changes, forest ecosystems would also change, and biophysical processes will be altered. If the climate parameters (temperature, precipitation, humidity, etc.) change, forest composition and structure also get altered by stressed conditions. Studies found that tropical forests in Bangladesh are already facing consequences of changing climate. The primary challenge for SFM is finding ways to continue to produce ecological services despite the complex problem cited above.</p> <p>Bangladesh is characterized by both natural and plantation forests which, however, account for 17.5 percent of the total land in documents, but only 6-7 percent in reality. The notable natural forest ecosystems are tropical wet evergreen and semi-evergreen forest (hill forests), moist deciduous forestry (sal forest), tidal forest (mangrove forest), and village forestry. The plantation forests are now increasing under different programmes. Each forest type possesses particular stand structure, composition and functional groups (i.e., the groups of species that perform multiple and also builds site specific responses to climate variability. The gap between</p>

Themes	Description
	demand and supply has been increasing with the increase of population. The gap may be narrowed by planting appropriate species (indigenous) in denuded areas, wastelands, chars, marginal lands as well as homestead areas.
Infrastructure optimization, assessment and monitoring through digital monitoring system	<p>The status of infrastructure against required ones for sustainable forest management. Development monitoring platform.</p> <p>Infrastructure development for wild lives as well as local community climate change adaptation (Protection wall to protect wild lives from the attack of local community and poachers, water reservoir for wild lives and local community, cyclone shelters for community people in the coastal areas etc.);</p>
Forest conservation ANR, IAS, NTFP conservation, wild life habitat conservation,	Policy development and revision: Academic research which will have positive impact on policies, legal frameworks, regulations, Acts relating to forest biodiversity, wild lives, collaborative forest management.
Improved collaborative, conservation, management and Protection  ANR, IAS, NTFP conservation, wildlife habitat conservation and restoration  Wildlife Ecology	<p>Regeneration of forest biodiversity (Plantation in degraded forest land with native species, gradually bringing back social forestry plots/areas under indigenous tree plantation, etc.);</p> <p>Improved management and Protection for endangered species and animals (community patrolling for to protect illegal tree felling, encroachment and poaching wild animals like elephant, tiger, birds etc.)</p> <p>Ecological studies of rare and endangered wildlife species</p>
Improving financial management of BFD	Improving financial management of BFD. Bano Bhavan is connected online for financial management at DFO offices with CCF office/Head Quarter.
Digital Service Delivery towards sustainable Forest Management/conservation	How the current forest and staff management communication can be done in digital platform. So that paper work and time required is reduced.
Digital data base including RIMS	Integrated database of forest and Protected Area boundaries, digital index map, land use maps of forest

Themes	Description
	areas, forest classification maps, forest characteristics, carbon and inventory maps. The system has to be remotely accessible by all RO, ACF, DFO, ACCF, DCCF
Public Private Partnership	<p>Scope of Public Private Partnership in context of forest biodiversity conservation; appropriate business model developing market linkage and value chain to strengthen access to market for local community.</p> <p>Capacity building of local communities specially women and youth through training (entrepreneurship development, livelihood training, value chain etc.)</p>
Eco-tourism Development	Development of parks, collaborative tourism facilities like home stay, tourism amenities in the touristic areas, communication, entry fee collection and other tourist facilities to increase revenue sharing with local communities and forest department
Collaborative Forest Management- hill, plain, coastal biodiversity conservation	<p>The proposed development objective is to improve collaborative forest management and increase access to alternative income generation activities for forest-dependent communities in targeted sites. This will be achieved by these expected results:</p> <p>(i) Improving public sector management of forest resources and increasing participation of communities in forest conservation and restoration.</p> <p>(ii) Reducing direct dependence and unmanaged extraction of forest resources by offering alternative livelihood sources to dependent communities and improving the enabling environment for trees outside forests.</p> <p>Together, these will result in the eventual improvement of forest cover and ecosystem functions, coastline protection and increase job opportunities for some of the poorest and most vulnerable forest dependent communities, including women and tribal groups.</p>
Ecosystem Service Valuation	Ecosystem service valuation of PAs or important forest areas so that conservation importance can be highlighted
Coastal ecosystem, afforestation in the accreted land with multiple	The coastal population are mostly poor, some of them are landless and they earn their livelihood through

Themes	Description
species	<p>agriculture, fishing, shrimp farming, salt farming and collection of NTFP etc. Climate change induced disasters destroy their livelihood assets, options and increase people’s vulnerabilities. The recurrent cyclones historically killed thousands of people and destroyed inhabitation and infrastructures in the coastal areas of Bangladesh. Creation of mangrove and non-mangrove forests along the coast line as green shelterbelt. Bangladesh Forest Department has already raised large scale plantations mainly with <i>Sonneratia apetala</i> in all along the coastal belt to create a green shelterbelt. But these established plantations are facing tremendous pressure due to insect infestation, rising up forest floor and lack of inundation resulted large gaps inside plantations. From the available research findings, some of the other mangrove species are found suitable for planting inside the gaps of these plantations. Moreover, some of the non-mangrove species are found promising for planting in the raised coastal lands and embankment. Therefore, the selected promising species can be planted in the accreted lands, roadside, embankment and marginal lands for creating dense vegetation which can reduce the impact of all-weather events resulting from climate change. Multi-species mangrove plantations can also be established in the accreted lands for long term sustainability of coastal ecosystem. The coastal community can be engaged in collaborative forest management approach for the sustainable development of coastal forestry. Thus, they will be socially and environmentally benefited. Further researches are needed to better understand the engagement approach, strategies and business model for coastal regions.</p>

### 2.3 Eligibility Criteria

To ensure the selection of the qualified innovation grantees for SIG, following eligibility criteria may be used:

- This program specially emphasizes on conducting research on collaborative forest and PA management which help to nurture the approach of providing livelihood of forest dependent communities, livelihood diversification, intensification & value chain development.

- The project must have shown a proven track of significant scientific outcome after completion and will contribute to forest sector and socio-economic development of nation in future as well.
- Supports innovative scientific work aimed to provide funds to researchers of Public/private research organizations those who are engaged in similar research work previously, that have shown a good performance
- Allocation of fund will enable them to complete the ongoing innovative, forestry/wildlife related research work.
- Request for funding must be submitted for this program by using application format enclosed with the manual (See Annex I to IV).
- Research organization with proven track record and affiliation with a public/private university NGOs or private companies with proven background in conducting research projects in the areas of collaborative Natural Resource Management (NRM), forestry and conservation activities.
- International research institution/companies/organization must form a joint venture or association/partnership consortium/a with one or more Bangladeshi institute/companies/organization.
- In case of consortia/consortium with international research institution/companies/organization Bangladeshi institute/companies/organization will be the main contracting party with SUFAL/BFD/SIG.
- In case of independent or academic researcher, the applicant must have Bachelor's degree with previous research experience in the relevant fields. And the applicant must have been associated with an academic institution if the applicant is perusing for any degree program from the research work and support from SIG.
- The independent researcher will conduct the project under a supervisor from his/her institution/s.
- Must have good understanding about SUFAL program objectives and forestry/ecosystem/wildlife issues in Bangladesh.
- Must have commitment to participate in relevant events (training, consultation etc.) of SUFAL project or as suggested by SUFAL/BFD authority.
- Must submit completed Application Form (Annex I to IV).

## **2.4 Management**

IGM will be uploaded in the BFD website for wider circulation of SIG opportunity of SUFAL project. Notice of the call for proposal will be published in the national newspapers as well as to be uploaded in the BFD website. SUFAL PMU will take measures through communication and outreach program for motivating women candidates to apply for SIG.

PD, SUFAL project will propose CCF to form a Research Proposal Evaluation Committee (RPEC) by comprising 07 (seven) members of following representatives.

Project Director, SUFAL Project	Chairman
Conservator of Forests (to be nominated by CCF)	Member
Conservator of Forests, Wildlife and Nature Conservation Circle, Dhaka	Member
Academia with Forestry Background	Member
Academia with Wildlife Background	Member
Researcher, BFRI	Member
Deputy Project Director, SUFAL Project	Member Secretary

ToR of the RPEC will be as follows:

- To evaluate and recommend for shortlisting of quality proposals from proposals received at PMU, SUFAL project under call for proposal of SIG.
- Organize quarterly meeting to manage and monitor awarded research under SIG.
- Provide comments on periodic progress report of the SIG beneficiary
- Arrange field visit where necessary
- Arrange training for the awardees as and when required.
- Coopt members/experts when necessary

PD, SUFAL Project will also propose to CCF to form an Innovation Grant Review Committee (GRC) by comprising 08 (Eight) members of following representatives:

Chief Conservator of Forests, BFD	Chairman
Deputy Chief Conservator of Forests, Planning Wing, BFD	Member
Deputy Chief Conservator of Forests, Education and Training Wing, BFD	
Deputy Chief Conservator of Forests, Management Wing, BFD	Member
Academia with Forestry Background	Member
Academia with Wildlife Background	Member
Researcher, BFRI (To be nominated by Director, BFRI)	Member
Project Director, SUFAL Project	Member Secretary

ToR of the GRC will be as follows:

- To review and award quality proposals from short listed proposals by RPEC.
- Set indicators to monitor research progress of SIG
- Organize half yearly meeting to oversee progress and provide advisory support to PREC for necessary action in management and monitoring
- Coopt members/experts when necessary.

Accommodation and other related facilities (travel and pertaining expenses including daily allowances etc.) will be provided to the members of the PREC and GRC while engaged in evaluation of proposal, field visit for management and monitoring of research work.

PMU staffs (DPD, APD, Procurement Specialist and Financial Management Specialist) of SUFAL project will organize field trip for field inspection, progress review and fiduciary review of procurement and financial management of each of the SIG.



### 3. INNOVATION GRANT APPROVAL AND AWARD

Research Proposal Evaluation Committee (RPEC) will evaluate and recommend for shortlisting of quality proposals from all proposals received at PMU, SUFAL project under call for proposal of SIG. Once short list of research proposal will be recommended, Innovation Grant Review Committee (GRC) will review and award quality proposals and will set indicators to monitor research progress of awarded SIG. PMU, SUFAL will arrange to approve awarded SIG which will be administered under a sub-grant agreement with terms and conditions acceptable to the Association.

Beneficiary who had received SIG under this program and have not yet completed their research project within the stipulated time and have not submitted project completion report in due time will not be allowed to participate in the second-round call for proposal of SIG.

#### 3.1 Award Cycle

SUFAL project will employ an award cycle closely linked with work plan activities that seeks applications to support and strengthen specific SUFAL activities. In order to encourage the application process and effectiveness of the SIG, the RFA will be adapted to the capacity of targeted organizations.

In order to ensure that the application process is timely and efficient, SUFAL project has developed the following table that describes each step and the estimated time for completion. When changes to the innovation grant process are identified and incorporated, it is essential that the timeline be considered and adjusted accordingly. The goal for the turnaround time is 13 weeks total between the time of SIG Application Call announcement and innovation grant project start up.

#### Application Process Timeline 3 weeks

<b>Event</b>	<b>Time Period in weeks</b>	<b>Total Elapsed Time</b>
SIG Application call announced	Timeline Begins	0 weeks
Facilitation and guidance for proposal development	1 weeks	1 weeks
Full proposals due	2weeks	3 weeks
Proposal evaluation complete	3weeks	6 weeks
Recommendation list ready	1 week	7 weeks
Submitted for approval	1 weeks	8 weeks
Innovation Grant agreements finalized	1 week	9 weeks

### **3.2 Environmental Review**

The appointed Environmental Safeguard Coordinator of the SUFAL project in coordination with beneficiary of SIG and associated site-based teams will carry out an Initial Environmental Examination (IEE) for the shortlisted SIG applications and proposed activities that have the potential for adverse impacts on the environment. These impacts primarily affect three areas: small-scale construction activities, alternate income generating activities, and procurement of computers and other electric and electronic equipment related to project support. To ensure that recommendation of the Environmental Mitigation Plan (EMP) will be followed by innovation grantees (beneficiary) of SUFAL project. He will take actions on potential impacts, and initiate appropriate mitigation measures, monitoring measures and reporting schedule.

### **3.3 Grant Application Selection Criteria**

Grant application selection criteria will be as follows:

- Priority will be given to the government or non-government academic and research institutions, NGOs, private companies who are interested in forest and biodiversity conservation;
- Preference will be given to research proposal those directly address the objectives of SUFAL project and Bangladesh Forest Department in conservation of forest ecosystems and improvement of floral and faunal biodiversity in the forests through ecosystem based collaborative forest and PA management.
- Proposal from International research institution/companies/organization forming a joint venture or association with one or more Bangladeshi institute/companies/organization must ensure Bangladeshi researchers get the maximum research opportunity on forestry and biodiversity related issues and problem in Bangladesh.
- If degree requirement is in the proposal, international institute may award the degree to Bangladeshi researchers. However, maximum support from SIG would be up to two years. Researchers must look for support from other sources if his/her degree require more support for period beyond two years. Important, any researchers who have already availed Bangladesh Government or any bilateral Fellowship or Scholarship may not be considered for SIG for any degree program below PhD.
- Application has to include Bangladeshi academic/researcher, organization or individuals with good record in implementing research/development projects;
- BFD and SUFAL project will actively assist the grantee.

The following information is required in each proposal

- Two (02) copies photographs of the Principal Investigator and Associate Investigator.
- Organizations/Universities/Institutes should submit Project Proposal through their respective authority.

- Principal Investigator and Associate Investigator should put on their signature with official seal. All applicant present evidence official endorsement of the application from their respective institutional head/ legal representative of their institution.
- In case of consortia/consortium with international.
- Research institution/companies/organization Bangladeshi institute/companies/organization will be the main contracting party with SUFAL/BFD/SIG. However, they must show the evidence of joint venture/consortia/partnership in written agreement on an official letter head, signed and stamped.
- Organizations which received financial support under innovation fund earlier but did not comply with obligation (required by the grant contract) will not be considered for any other funding.

### **3.4 Evaluation Criteria**

The minimum benchmark to be approved for innovation grant will be 04Acceptable. Proposals that do not meet this minimum benchmark will not be forwarded for funding.

To ensure fairness in selecting the most deserving innovation grantees, following thematic criteria for evaluating proposals will be emphasized:

- Level of understanding and explanation regarding the proposed research project
- Innovativeness and sustainability
- Technical feasibility
- Proven Experiences of the organizations/researcher
- Logical frame work and methodology
- Level of contribution to the project and forest conservation or a particular ecosystem;
- Financial management, cost sharing and cost-effectiveness of the proposed budget;
- Level of alignment of work plan with proposed activities
- Equal representation of beneficiaries, especially women, ethnic communities and youths.

The Innovation grant Review Committee (GRC) will rank applications according to a Likert Scale of 0 to 4 (as bench mark):

- 0-Not Acceptable
- 1-Acceptable with modification
- 2-Acceptable
- 3-Very Good
- 4-Excellent

However, GRC will make matrix on Likert scale for important parts of in their first review meetings. So that it can assess all the proposal in an objective manner.

Description of the proposal	Likert Scores
Innovation idea	
Alignment of research with SUFAL/BFD objective of forest and biodiversity conservation	
Clarity of objective	
Clarity of research question	
How well approach and method defined and outlined?	
How realistic is the work plan and time line?	
How realistic is the resource allocation?	
Opportunity for capacity building of Bangladeshi researchers/BFD professionals	
<b>So on (To be decided by GRC and RPEC)</b>	

### 3.5 Grant Agreement

Regardless of innovation grant size, an approved and signed Innovation Grant Agreement document is required for all Innovation grants. The only modifications allowed to innovation grant agreements are the program plan, budget reallocations revisions that do not increase the budget amount, and disbursement schedule.

After program/project selection, the Principal Investigator/Researcher will execute a bond duly counter signed by the Head of the Organization/Institution/ Principal Investigator/Researcher on a non-judicial stamp of Tk 150.00.

A Standard Grant Agreement format can be seen in ANNEX IV

The following table summarizes the primary responsibilities of all persons involved with the SIG activities of SUFAL Project.

Project Director/Innovation Grant Review Committee (GRC)	DFOs	Research Proposal Evaluation Committee (RPEC)	PMU
<ul style="list-style-type: none"> <li>• Management of GRC and RPEC</li> <li>• Coordination with WB, CCF and MoEFCC</li> <li>• Guide Innovation grants review</li> </ul>	<ul style="list-style-type: none"> <li>• Be informed about the research proposal and worth to make comments for the project implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Provide technical review on the submitted proposal</li> <li>• Provide guidance to PMU for short</li> </ul>	<ul style="list-style-type: none"> <li>• Announcement of call for proposal for innovation grants in print and electronic media in consultation</li> </ul>

Project Director/Innovation Grant Review Committee (GRC)	DFOs	Research Proposal Evaluation Committee (RPEC)	PMU
<p>committee (GRC) and Innovation Research Proposal Evaluation Committee (RPEC) to utilize innovation funds properly and by finding out good innovation proposals and its implementation</p> <ul style="list-style-type: none"> <li>• Lead the approval, negotiation and timely implementation of Innovative grants proposals</li> </ul>	<p>to PD, SUFAL</p> <ul style="list-style-type: none"> <li>• Review the innovation project proposals and make his opinion on the eligibility of the proposal</li> <li>• Communicate with PD and PMU regarding the proposal and its effectiveness for his forest area</li> </ul>	<p>listing and finalization the projects for grants awarding</p> <ul style="list-style-type: none"> <li>• Provide technical insights to the organizations and applicant for properly and timely implementation of the project</li> <li>• Monitor and evaluate project activities along with field visit (where necessary)</li> <li>• Attend meeting with SUFAL and World Bank team for sharing updates and information on innovation grants projects</li> </ul>	<p>with PD</p> <ul style="list-style-type: none"> <li>• Arrange briefing on the call for project proposal</li> <li>• Maintain record of submissions and make short list of the applicants as per the recommendations of Research proposal Evaluation committee.</li> <li>• Respond to the queries of the applicants</li> <li>• Monitor progress and quality of the project</li> <li>• Ensure finalization of the projects</li> </ul>

#### **4. POST AWARD ADMINISTRATION**

In performing the post-award administration of the SIG, UFAL PD will:

- Provide necessary and required data and information including post-award approvals, instructions and guidance to the innovation grantees (beneficiary)
- Ensure that the proper monitoring and evaluation mechanism are in place to monitor the progress of activities with special reference to the indicators developed by GRC
- Review financial management system of the grants winning organization with to ensure proper financial data preservation with breakdown of the expenditures and maintain of procurement as per PPR (2008).
- Communicate with the Grantees regarding clarification on financial matters and other relevant issues.
- Ensure timely submission of activity progress and financial reports (quarterly) from the grantees and make comparison with work plan to measure the progress and gaps.
- Maintain all innovation grant pre-award and post-award files in good order
- Ensure that the innovation grantees maintain their financial and operational reports in good order, and retain them for three years after final payment
- Monitor innovation grantee cost-sharing contributions and program income where applicable
- Perform timely close-out of all expired innovation grant.

##### **4.1 Advances and Disbursements**

All disbursements will be made directly to the organizational bank account designated in the innovation grant document unless otherwise stated in the innovation grant agreement; payments will be made once it is determined by the DFO in case of field based research and DPD at PMU in case of policy research that the deliverables and financial reporting have been completed.

All innovation grant advances and disbursements issued in Bangladesh will be in the Bangladeshi currency. Advances and disbursements will be based on the terms negotiated in the innovation grant agreement. Advances and disbursements must be requested by the innovation grantee and sent to the Innovation grant Manager at the SUFAL Dhaka office. No new disbursements will be made without clearing 75 percent of previous advances.

Records of advances, disbursements and reconciliations will be maintained by the SUFAL Finance staff. Disbursements and advances will be made bank to bank by wire transfer when possible. Disbursements and advances can be made on a quarterly basis, depending on the

effective rate of spending of the innovation grantee and reporting requirement of the innovation grant.

The SUFAL finance staff will maintain an Excel spread sheet showing the advance balance for each innovation grant. This spreadsheet should accompany the monthly Field Office Voucher and electronic wire request submitted to SUFAL PD headquarters. When submitting a wire request, project management should detail any planned innovation grant payments to be made during the period.

## **4.2 Procurement**

Innovation Grantees are allowed to purchase equipment only when included in the innovation grant agreement to support SUFAL project activities. All procurement must be made following Public Procurement Rule (2008) of GoB and procurement regulations of the World Bank.

## **4.3 Reporting**

The grantees must full fill the required information in the specified and prescribed form in the innovation grant agreement. Only after providing the required information the grantees will receive funding disbursements. The reporting and compliance issues will be shared with the grantees through a workshop where participation of all grantees is mandatory.

### **4.3.1 Technical Reporting**

#### ***Submission of Reports:***

All innovation grantees (beneficiary) are required to submit quarterly progress reports (or at regular intervals as per the innovation grant agreement) during the grant period. The first disbursement will be a “Mobilization part (which is not more that 10% of the total grant” after successful submission of “Complete Work Plan with Milestones” along with initial impression on field realities. Concerned DPD for innovation grant, the signatories of the letter of acceptance of the innovation grant are responsible for the timely submission and the content of these reports. The inability to submit anticipated reports on time will entail a delay in further payments or the suspension or the termination of the innovation grant agreement at the discretion of SUFAL head quarter. A copy of every report should be submitted to the SUFAL concerned DPD.

#### ***Purpose of Progress Reports:***

Progress Reports serve to assess the progress achieved in the implementation of SIG activity and permit the identification of problems that need to be resolved or taken into consideration by the program and the project management team. The progress reports constitute a permanent archive of the accomplishments of the project. They enable the SUFAL PMU and results planned for the grant period. If the objectives are not reached, it is necessary to give the reasons

and to propose corrective measures.

Publication from research work: Any publication from research work with support from SIG must have prior approval from PMU/PD/BFD. No popular article in any form media or peer reviewed publication be made without prior and written permission of the PD, SUFAL.

***Completion Report:***

Completion report is linked to disbursement of final installment of grant. The final/completion report must be submitted before last week or at least five working days before end of grant period. Until final report and recommendation from RPEC and PD, disbursement of final installment of grant will be suspended. The final tranche of payment will be made only acceptance of final report by the RPEC and PD, SUFAL project. The final report should contain the following details as appropriate:

- A description of the main activities covering the entire period of the innovation grant, and a comparison of accomplishments with respect to the objectives, activities and results outlined in the innovation grant request;
- If necessary, indicate any changes in the organization of activities in relation to those included in the initial innovation grant application;
- Describe any plans for the continuation of the activity beyond the period of the innovation grant;
- Include an assessment of the impact of the innovation grant on the targeted population; and
- Include a sample or copy of all products or documentation that would help to better understand the accomplishments or completed activities.

*Presentation of the Progress and Final/Completion Reports.* Technical reports will include the following information:

- A comparison of accomplishments with targets for the period as established in the innovation grant agreement
- Results
- Any feedback from participants
- A description of problems encountered and possible solutions
- A description and explanation of any deviations from the work plan
- Publications and outreach: e.g., copies of published articles, brochures, web pages, videos, photographs
- Planned activities for the upcoming period.
- *Cover Page.* The cover page should include the following information in this order:
  - Type of report
  - Period covered
  - Innovation Grant Agreement Number



- Title of the activity or program
- Name of the innovation grantee
- Date of Submission

### **4.3.2 Financial Reporting**

Innovation Grantees are required to report on all expenditures on a monthly basis using the form for Monthly Financial Report. The reporting period will be established in the innovation grant agreement.

This report is prepared in BDT by the innovation grantee in Bangladesh.

Attached to all innovation grant financial reports will be:

- Legible photocopies of all receipts for expenses
- Any other supporting data
- Narrative explanation of any budgetary problems, unusual or large expenditures, cost overruns or any other financial issues
- Support for cost share reported based on plan submitted in the proposal

At the end of the financial year, the implementing Organization/Institutes /University will surrender the unspent balance money to the Govt. of Bangladesh through an account payee pay order (for Dhaka City only) or demand draft (from Scheduled Bank of Bangladesh Bank) in favor of the “PD, SUFAL”. The unspent amount deposited may be carried to the next financial year for utilization for the same project/program with the approval of the PMU / PD SUFAL

*Review of Financial Report.* There are two components to the review of the financial report: 1) review for completeness, correct arithmetic, consistency with prior reports, and conformity to the SUFAL project financial report format, and 2) review of the reasonableness of expenditures by examination of the financial report and documentation of expenses.

### **4.4 Monitoring and Evaluation (M&E)**

RPEC with experts from different background will monitor and evaluate the progress of SIG activities. Technical and Financial reports and quality of deliverables submitted or completed will be monitored and evaluated by the members of RPEC. Monitoring implementation activities of the innovation grant is a critical step in the innovation grant administration process.

Steps to ensure good monitoring of the Innovation grant may include:

- Collect impact data as defined by the innovation grant agreement
- Monitor financial reports
- Site visits of selected innovation grantees
- Review of impact data to determine effectiveness of innovation grant program.

SUFAL PMU may engage third party individual /institution to evaluate the field data collection and impact/s assessment of any particular grant/s.

MTR/Mid Term Evaluation-has to take corrective measures so that all the measure suggested during MTR need to take by the grantee. If this is not done in consultation with concerned DFO/DPD and PD

#### **4.4.1 Field Site Visits**

Field site visits are very important part of the overall communications and monitoring relationship established with the innovation grantee (beneficiary of SIG). The innovation grantee must have a clear impression that the SUFAL project is serious about proper implementation of innovation grant activities, timely reporting, and compliance with the terms and conditions of the innovation grant agreement. This impression is strengthened and supported by the physical presence of SUFAL staff at the project site. The innovation grantee should also have the impression that Forest Department and SUFAL staff can provide feedback, advice, and assistance to support and stimulate successful project implementation.

Grantee/s required to inform one week prior to planned visit to concern DFO office and SUAFL team. Field visits are carried out by appropriate SUFAL staff.

All staff will be trained on how to conduct and monitor the innovation grantees. The purposes of the site visit include confirmation or assurance that:

- Information contained in innovation grantee technical and financial reports is accurate (to verify results)
- Project activities are proceeding as per plan, and/or, in the case that major problems, delays, or obstacles exist, that the innovation grantee is effectively and constructively attempting to resolve such issues
- The innovation grantee is in compliance with the terms and conditions of the agreement and particularly including those related to proper management and security of SUFAL funds and equipment purchased under the agreement

*Notifying the innovation grantee and Scheduling Site Visit.* When the innovation grant manager contacts the innovation grantee to set up the site visit, the reason for the visit should be stated (e.g., routine or to discuss a particular issue). The details of the appointment should be confirmed in writing either via email, fax or letter, if possible. Prior to the visit, the person(s) conducting the visit should review the SUFAL Project files of the grantee, including the project agreement, monthly reports, etc.

*Performing Site Visit.* A normal site visit may include some of the following steps to draw conclusions regarding the organization's performance under the terms of the agreement:

- *Program issues.* Technical Component Managers, Regional Coordinators and/or other program staff should interview the project director. The purpose is to discuss the course of project implementation and the activities planned, as well as to listen to their evaluation of implementation, existing problems, and difficulties.
- This is a time to evaluate how well the innovation grant activities are in compliance with the agreement. This could include site trips to review innovation grant activity—for example, to nature reserves or enterprises, or to attend a workshop or seminar and or to meet the partners and the beneficiaries of the innovation grantee, and representatives of local administrations involved in project implementation.
- *Financial management issues.* The innovation grant Manager and/or Innovation grant Accountant along with field based Innovation grant Officer should meet with the innovation grantee finance staff to gain an understanding of who does what in terms of the financial procedures. This is a time to review cash management practices to determine security of cash, review a sample of financial records *related to the innovation grant only*—especially payments of large amounts, equipment purchases, and consultant expenses. The review should include assessing any equipment procured with innovation grant money.
- In the event that the site visit is targeted towards a specific issue or problem the steps in the review may be focused or expanded. At the end of the site visit, a debriefing should be scheduled with the innovation grantee project management team (Director, PIC, and/or the accountant) to discuss any preliminary conclusions. The debriefing gives the reviewer an opportunity to clear up any potential misunderstandings or inaccurate conclusions prior to report preparation.

*Site Visit Report.* The report should include background information regarding the visit such as:

- The date of the visit
- Who carried out the visit?
- The names and positions of innovation grantee staff visited
- A summary of the findings and recommendations
- All results, success stories and major accomplishments

In the event that further investigation is required, a decision will need to be made as to whether an additional visit should take place prior to issuance of the site visit report. A copy of the site visit report, including a cover letter signed by the innovation grant Manager, are mailed or transmitted to the innovation grantee agreement authority. A summary of the recommendations and findings should be mentioned in the cover letter. The letter requests a written reply from the innovation grantee which includes a suggested action plan for resolution in the event there are any findings or problems which require attention.

#### **4.4.2 Remedies for Innovation Grant Non-Compliance**

SUFAL may have the unfortunate experience of dealing with cases where innovation grantees do not comply with agreed terms and conditions spelled out in the agreement. Should such occasions arise the innovation RPEC will review the causes and take appropriate actions include thorough reviews, physical investigation, suspension of activities and financial transactions, and termination of innovation grant.

*Closeout of Innovation grant Award.* The assigned DPD will verify that all technical and financial reporting requirements, and any other agreement terms have been fulfilled prior to project close out. Such closeout requirements must include:

- Receipt of final invoice or financial report clearly marked “FINAL”
- Collection of all required deliverables (e.g., technical/progress reports, patent/invention documentation, equipment reports, etc.) to be provided by the recipient and final verification of technical completion by the technical representatives, indicated by their signature and date on the final invoice
- Completion of any necessary final review of costs charged to Forest Department by the recipient and final closeout of all commitments, accrued costs, or payables
- De-obligation of any outstanding funds, if necessary.

## ANNEX I

### Application for/

### SUFAL Innovation Grant Application Form

(Research to be carried out maximum up to two year)

Two copies of  
recent passport  
size photograph/s  
of Principle  
Investigator

#### 1. Personal details

a) Name	:	
b) Father's Name	:	
c) Mother's Name	:	
d) National ID No. or Passport No.	:	
e) Nationality	:	
f) Date of Birth	:	
g) Postal Address	:	
h) Permanent Address	:	
i) Phone	:	
j) E-mail	:	

#### 2. Qualification (Chronologically downward from the most recent)

##### a) Education

Name of Degree	Major Subject	Institution	Year of degree obtain	% of Marks
MPhil				
MSc				
BSc				

##### b) Training

Name of Training	Topics covered	Institute	Year

c) Professional experience

<b>Duration</b>	<b>Employer</b>	<b>Position</b>	<b>Major responsibilities</b>

**3. Research Topic** (a detailed research proposal has to be annexed describing rationale, objectives, methodology and expected outcomes along with references)

**4. Statement of purpose** (Why do you want to obtain this SUFAL Innovation Grant and what did motivate you? It should be within 200 words)

5. What innovation will you bring to SUFAL and Forestry Sector in Bangladesh and elsewhere?
6. Do you have any publication plan from the SIG supported work? Please specify the topic on which you like to publish or target journal. SUFAL will support with payment of publication fee/s.
7. What skills, experience and knowledge will you bring to SUFAL and forestry from you research work?
8. Is there any policy implication of your research? If yes, explain it in 150 words.

9. List of your recent publication (please list them in reverse chronological or descending order).
10. Anticipated challenges or issues to be considered for successful completion of your proposed activities.
11. **Referees**

Referee 1	Referee 2
Name	Name
Position	Position
Affiliation	Affiliation
Address	Address
Telephone	Telephone
Fax	Fax
Email	Email

- You can add or delete additional columns or rows as needed
- A detailed up-to-date curriculum vitae have to be added with this application form

Date

Place

Signature

## **Annex II**

### **Template for SUFAL Innovation Grant Proposal**

1. **Background and context** (300 words and 500 words)  
(it has to be with citation from recent [max past 10 years] peer reviewed publication. If crucial more older literature may be cited as well.); Government reports may be cited as well.
  2. **Problem statement (max 800 words only)** it has to be with citation from recent [max past 10 years] peer reviewed publication. Government reports may be cited as well.
  3. **Objectives**
    - a) Specific objectives not more than two
    - b) Research questions not more than three
    - c) Please specify, if you have any research question.
  4. **Approach and methods**
    - a) Describe research approach you would pursue to attain you objective and answer your research questions.
    - b) Study area (brief description of study area; how it is linked the research problem? why this is the best study to carry out the research?)
    - c) Map of the study area/site
    - d) Please describe qualitative and quantitative approach
    - e) Sampling design with statistical analytical approach
  5. **Research process flow**  
Schematic diagram showing the conceptual flow of the approach and methods leading to attaining the anticipated results. Brief description elaborating the schematic diagram.
  6. **Work plan**
    - a) A detail work plan with milestones has to be inserted here
    - b) A matrix of quarterly deliverable/s plan-in which quarter which deliverables or milestone/s would be achieved?
    - c) A Ghant Chart or work calendar (which activity when where and does)
  7. **Budget**  
Budget hat to be prepared in supplied format (Annex III)
-



**Budget template for SUFAL Innovation Grant Proposal**

Category	Area	Unit	Quarter 1			Quarter 2			Quarter 3			Quarter n	Total
			no. of unit	unit rate	Total	no. of unit	unit rate	Total	no. of unit	unit rate	Total	Total	
Personnel													
	<b>Total</b>												
Consultant													
	<b>Total</b>												
Equipment													
	<b>Total</b>												
Research													
Indirect Cost													
											<b>Total</b>		
											<b>USD</b>		



## ANNEX IV

### Innovation Grant Contract between Sustainable Forests and Livelihoods (SUFAL) Project, Bangladesh Forest Department

and

-----

**Purpose** : Innovation Grant for Research on Forest Conservation  
**Effective date** : ---- 1, 20--  
**End date** : ---- 1, 20---

### Background

In this new millennium, society is fast becoming knowledge based. Scientific and technological knowledge, experience and expertise on forestry have become the crucial element in the production system of forest which leads to a significant role to improve the existing forestry perspective as well. This innovation fund with its unique nature of arrangement of providing fund for conducting scientific and technological research on forestry knowledge arena has created new opportunities and renewed enthusiasm for research in Forestry science in Bangladesh. Along with providing support and services to different areas of Climate change, forest and biodiversity, it will contribute to develop qualified manpower in critical areas of forest science and technology. The academic institutions will be able to derive spin off benefits from these researches and from the M.Sc., M Phils and Ph.Ds.

### Introductory few sentences detailing location, capacity, skills etc of the grantee

### Objective

The main purpose of this contract is to provide partial or full grant for proposed and agreed research project under specific research call under Sustainable Forests and Livelihoods (SUFAL) Project, Bangladesh Forest Department. At least 30% to 50% of the recipients of a SUFAL Innovation Grants need to be female.

The overall goal of the innovation fund of SUFAL is **to provide resource support to researchers and academicians of public and private institutions, national and local organizations to strengthen institutions, private companies, information systems and training which will facilitate to improve collaborative forest resource conservation and management in Bangladesh.** However, to achieve the main goal, following specific objectives were set to select research programs for funding under SUFAL Innovation Grant (SIG)

- To build up knowledge base of forestry science and technology in gap areas of national interest more particularly ecosystem based collaborative conservation and management of forest and



biodiversity;

- To address the serious unsolved management technical issues applying research and experimentations of forestry sector particularly on forest biodiversity through joint collaboration of forest dependent communities and Bangladesh Forest Department;
- To develop human resource in critical areas of forestry giving impetus to fellowship program and further development of the programs for MS or equivalent degree/MPhil/PhD within the country;
- To provide supplementary support for research and development related activities in forestry sector;
- To promote international, regional scientific programs for effective collaboration with scientific communities abroad in areas of Forestry with national interest;
- To improve forest biodiversity through joint collaboration of forest department, research institute/companies in the public and private and local communities; and
- To improve institutional research capacities of public and private universities and Forestry research entities that will contribute to a greater understanding of climate change, natural resources management (NRM), forest and biodiversity conservation through collaborative management.



### ***Terms of Reference***

***(it has to be developed by PMU, APD, DPD, and PD of SUFAL) based on each of the grant application and proposal***

## **Terms and Conditions of the Innovation grant**

### **Reporting**

The grantees must full fill the required information in the specified and prescribed form in the innovation grant agreement. Only after providing the required information the grantees will receive funding disbursements. The reporting and compliance issues will be shared with the grantees through a workshop where participation of all grantees is mandatory.

### **Technical Reporting**

#### *Submission of Reports.*

The grantee ----- is required to submit quarterly progress reports (or at regular intervals as per the innovation grant agreement) during the grant period ---M/Yr to ---M/Yr. The first disbursement will be a “Mobilization part (which is not more that 10% of the total grant” after successful submission of “Complete Work Plan with Milestones” along with initial impression on field realities.

The grantee shall submit progress report every quarter.

Concerned DPD for innovation grant, the signatories of the letter of acceptance of the innovation grant are responsible for the timely submission and the content of these reports.

The inability to submit anticipated reports on time will entail a delay in further payments or the suspension or the termination of the innovation grant agreement at the discretion of SUFAL head quarter. A copy of every report should be submitted to the SUFAL concerned Deputy PD.

RPEC will evaluate the technical reports and recommend for approval by PD, SUFAL project.

### **Completion Report**

The final/completion progress report must be submitted within the last working day of the contracted period by the innovation grant and should contain the following details as appropriate:

- A description of the main activities covering the entire period of the innovation grant, and a comparison of accomplishments with respect to the objectives, activities and results outlined in the innovation grant request;
- If necessary, indicate any changes in the organization of activities in relation to those included in the initial innovation grant application;
- Describe any plans for the continuation of the activity beyond the period of the innovation grant;
- Include an assessment of the impact of the innovation grant on the targeted population; and



- Include a sample or copy of all products or documentation that would help to better understand the accomplishments or completed activities.

### **Presentation of the Progress and Final/Completion Reports**

Technical reports need to be submitted at the end of project period citing innovation Grant Agreement Number will include the following information:

- A comparison of accomplishments with targets for the period as established in the innovation grant agreement
- Results
- Any feedback from participants
- A description of problems encountered and possible solutions
- A description and explanation of any deviations from the work plan
- Publications and outreach: e.g., copies of published articles, brochures, web pages, videos, photographs
- Planned activities for the upcoming period.
- *Cover Page*. The cover page should include the following information in this order:
  - Type of report
  - Title of the activity or program
  - Name of the innovation grantee
  - Date of Submission

### **Financial Reporting**

Innovation Grantees are required to report on all expenditures on a monthly basis (or as agreed in the grant contract agreement) using the form for Monthly Financial Report.

The implementing Organization/Institutes which/University should send a utilization certificate and an audited statement of expenditure to the PD, SUFAL duly signed by the Principal Investigator/Researcher, Head of the organization/University and Head of the Finance Wing of that Organization at the end of each financial year and a consolidated statement of expenditure at the end of the program/project.

This report is prepared in BDT by the innovation grantee in Bangladesh. Each transaction will require conversion by Forest Department to U.S. dollars for purposes of reporting expenses to World Bank. Forest Department Headquarters will establish the exchange rate used each month by the SUFAL Dhaka office.

Attached to all innovation grant financial reports will be:

- Legible photocopies of all receipts for expenses
- Any other supporting data
- Narrative explanation of any budgetary problems, unusual or large expenditures, cost overruns



or any other financial issues

- Budget head can't overrun above 10% in a reporting period.
- Support for cost share reported based on plan submitted in the proposal

At the end of the financial year, the grantee (implementing Organization/Institutes /University) will surrender the unspent balance money to the Govt. of Bangladesh through an account payee pay order (for Dhaka City only) or demand draft (from Scheduled Bank of Bangladesh Bank) in favor of the "PD, SUFAL". The unspent amount deposited may be carried to the next financial year for utilization for the same project/program with the approval of the PMU / PD SUFAL.

### **Review of Financial Report**

There are two components to the review of the financial report:

- Review for completeness, correct arithmetic, consistency with prior reports, and conformity to the SUFAL project financial report format
- Review of the reasonableness of expenditures by examination of the financial report and documentation of expenses.
- The progress of the program/project will be monitored / reviewed by PMU of SUFAL, may seek cooperation from Bangladesh Forest Department (BFD). In additions, the PMU may designate specialists and/or officials for surprise site visit of the organizations for reviewing the progress and giving suggestions for achieving the objectives.
- The grantee will maintain separate audited accounts for the projects. All transactions related to project implementation must be done through Bank Account. The Bank must be a scheduled Bank of Bangladesh Bank. The Bank account will be operated jointly by the Principal Investigator/Program Coordinator /Project Counterpart/Program Manager and Head of the Organization/Department/Discipline. If the Principal Investigator is the Head of the Department/Organization/Discipline, then the account will be operated jointly by the Principal Investigator/Program Coordinator /Project Counterpart / Program Manager and Associate Investigator.
- Permanent or semi-permanent asset if acquired solely or mainly out of this fund in the program/project will be the property of the BFD of Bangladesh permanently marking SUFAL with financial year in which the grant was received. The BFD shall reserve the right to sell or otherwise dispose of such asset after completion of the project. Without the prior permission of the BFD these cannot be disposed of.
- The implementing Organization/Institutes which/ University will maintain an audited record of permanent and semi-permanent asset acquired solely or mainly out of the PMU / PD and shall send a copy of statement
- The implementing Organization/Institutes / University would maintain a separate audited account for each of such program/projects. If the bank account earns any interest out of this fund, it should be added with the original allocation and sent to the PMU / PD SUFAL at the end of each financial year.

- The paper to be published based on the research work done with this allocation, must contain the acknowledgement of the financial support from the PMU / PD SUFAL.
- The PMU / PD SUFAL will have the right to call for and get the data/information/design /specification to enable the transfer of knowhow and the implementing Institutes/Organization/University should send the information at the request of BFD/ PD SUFAL.
- The implementing Organization/Institutes /University may not authorize any other Organization to get the job done. If the implementing Organization/Institutes /University is not in a position to complete the program/project, it may be required to refund the entire amount to the / PD SUFAL.
- Recruitment of manpower for routine work is prohibited in this program/project. However, for technical work, data collection and analysis, manpower may be engaged only for a specified period which must be specified in the project proposal. The manpower to be engaged in such cases will be in no way treated as employee of implementing agency or the Government of Bangladesh.
- The PMU / PD SUFAL reserves the right: (a) to impose any condition(s)/rule(s)/law(s)-of the land during implementation period of the program/project for better interest of the country, (b) to stop funding at any stage and also recover the amount already disbursed if the PMU / PD SUFAL is satisfied that the allocated amount has not been properly utilized or appropriate progress is not being made or work has been unreasonably suspended for long period.
- If the Principal Investigator/Researcher technologist leaves the Organization/Institutes where the program is being implemented from this allocation, he will furnish a detailed report of the work done and a Utilization Certificate - and refund the unspent balance, if any.
- One person can generally submit only one project/program as Principal Investigator or Associate Investigator.

### **Information, Publications and Intellectual Property**

Every grantee has to publish at least an article or a report with findings, results and policy recommendation (if any) which is publishable in peer reviewed journal of repute, where he/she has to acknowledge the financial support during his/her research work by SUFAL Innovation Grant of Bangladesh Forest Department, The Government of the Peoples Republic of Bangladesh.

### **Closeout of Innovation Grant Award**

The assigned DPD will verify that all technical and financial reporting requirements, and any other agreement terms have been fulfilled prior to project close out. Such closeout requirements must include:

- Receipt of final invoice or financial report clearly marked “FINAL” before the last working day of the contracted period.



- Collection of all required deliverables (e.g., technical/progress reports, patent/invention documentation, equipment reports, etc.) to be provided by the recipient and final verification of technical completion by the technical representatives, indicated by their signature and date on the final invoice
- Completion of any necessary final review of costs charged to Forest Department by the recipient and final closeout of all commitments, accrued costs, or payables.
- The grantee may request for a project completion certificate.

Contacts: Grantee

Signature: -----  
 Name: -----  
 Position-----  
 Institution -----  
 E-mail: -----  
 Mobile: +                                      Alternative contact:

Signature: -----  
 Name: -----  
 Project Director  
 Sustainable Forests and Livelihoods (SUFAL) Project

Witness

1. Signature: -----  
 Name: -----  
 Position-----  
 Institution -----  
 E-mail: -----  
 Mobile: +

2. Signature: -----  
 Name: -----  
 Position-----  
 Institution -----  
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