

ANNEX 4

BASE MODEL TEMPLATE FOR TECHNICAL AND FINANCIAL REPORTS BIOCORREDOR AMAZÓNICO FUND

BASE TECHNICAL REPORT TEMPLATE FOR PROJECTS FINANCED BY THE FUND **BIOCORREDOR AMAZÓNICO (BCA FUND)**

A) Purpose

This technical report aims to standardize the evaluation and monitoring of progress and impacts for projects financed by the BIOCORREDOR AMAZÓNICO FUND (BCA Fund), to enable rigorous tracking of resource use and compliance with project objectives. Additionally, it verifies compliance with the environmental and social risk management measures established in the ESAP.

This report must be submitted by the Executors¹ of the projects every six months as part of the terms of the grant agreement.

However, the frequency may vary depending on the project category being implemented or at the express request of the BCA Fund, when deemed necessary for monitoring or evaluation purposes.

B) Technical Report Contents:

The technical report shall contain:

1. General Information:

- a) *Grant category:*
- b) *Project code:*
- c) *Date of Submission:*
- d) **Project Title:** Full name of the funded project.
- e) **Implementing entity:** Name of the organization responsible for implementing the project.
- f) **Reporting Period:** Duration of the period covered by the report (e.g., first half of fiscal year 2025).
- g) **Overview:** Project summary, geographic location, and main objectives.



¹Reference is made to project "implementing entities" on the understanding that, as they are in the implementation stage of the project funded by the BCA Fund, they are no longer considered proponents.

- h) Alignment with the objectives and strategic funding priorities and, where relevant, alignment with conservation commitments.

2. Executive Summary

- a) Brief description of the main achievements, challenges, and results achieved during the period covered by this report.
- b) Description of the difficulties encountered and corrective measures taken (if applicable).
- c) Include the most relevant results, the level of achievement of the targets, and a summary of the main indicators.

3. Progress toward objectives

General and specific objectives.

- a) Progress status against planned targets (outcome indicators)
- b) Percentage of achievement of the objectives set out in the project proposal.

4. Progress on the activities described in the project proposal

- a) **Implemented Activities:** Details of the activities carried out by the project implementer during the reporting period, in accordance with the approved work plan. The following must be provided for each activity:

Objective / Component	Results	SMART Indicator*	Meta			Unit of measure	Indicator progress as of the reporting date	Indicator progress (%)	Stakeholders involved	Outputs generated	Observations
			Baseline	Mid-term	Final						
Maintain and strengthen connectivity in Protected Areas and OECMs of Alto Napo.	Priority ecological corridors identified, restored, and managed, improving connectivity between protected areas, OECMs, and community territories.	Number of priority ecological corridors that have connectivity plans implemented, and restoration actions carried out by project closure.	0	0	2	Number of ecological corridors	0	0%	Parish GAD MAE Local NGO		Work is being carried out with the stakeholders involved in development of the ecological corridor declaration.
Conserve and restore priority Amazon ecosystems in Alto Napo.	Significant areas of forest under effective protection management, contributing to biodiversity conservation and climate resilience.	Number of hectares of forest under community conservation agreements implemented and operational by the end of the project.	0	2000	5000	Number of hectares	1000	20%	Local community	Agreement with the community	No observations
	Priority Amazon ecosystems restored and/or conserved through community actions that reduce degradation and improve the ecological integrity of the territory.	Number of hectares of Amazon ecosystems restored and/or under effective conservation management by project closure.	0	400	1000	Number of hectares	500	50%	Local community Parish GAD	500 georeferenced hectares.	We have exceeded the mid-term target due to a strong relationship with the community and key stakeholders.

* SMART Indicator (specific, measurable, achievable, relevant, and time-bound). Indicators must be formulated before setting targets, as this is the only way to ensure methodological consistency and technical feasibility.

Note: In the observations section, include a link to the supporting documentation for the aforementioned information. (E.g., reports, photos, attendance lists, etc.)

- b) **Modifications to the Original Plan:** Description of any adjustments made to the activity plan, the reasons for the changes, and the solutions adopted. (Please note that modifications may affect planned activities, but not the project



objective or the approved budget.) If significant modifications are required that may affect the planning, scope, methodology, or expected results, they must be submitted to the BCA Fund for review and prior authorization.

5. Follow-up:²

Each project must report on its progress in relation to the key performance indicators agreed upon in the grant agreement. This section must include:

a) **Quantitative Indicators:**

- Initial target: Target value established for each indicator.
- Achieved Value: Cumulative progress at the end of the reporting period.
- Deviation: Differences between the current value and the original target, with explanations in the event of delays.

b) **Qualitative Indicators:**

- Qualitative assessment of achievements in terms of social and environmental impact, which may include community testimonials, improvements in the management of natural resources, etc.

6. Environmental and Social Impact

- Environmental Impact:** Assessment of progress in conserving ecosystems and biodiversity in the Amazon region, detailing the changes observed in protected or restored areas.
- Social Impact:** Description of the impact on local communities, such as improvements in quality of life, participation in sustainable activities, creation of local employment, among others.
- Testimonials and feedback from direct and indirect beneficiaries.

7. Environmental and Social Action Plan (ESAP) monitoring

- Report on the implementation of the environmental and social risk management measures agreed in the ESAP (Tool 3 of the SGAS).
- Report on grievances and complaints received at the project level.

8. Results and Deliverables

This section must include the results and deliverables submitted by the implementer at the end of the reporting period, in accordance with the objectives set out in the grant agreement.



²Examples of indicators may include: a) number of hectares restored; b) number of workshops delivered and beneficiaries trained; or c) reduction in deforested areas in specific areas.

- a) **Products Delivered:** Detailed description of the agreed outputs or deliverables (e.g., studies, publications, technical reports, maps, awareness-raising campaigns), specifying the status of each one.
- b) **Training and Capacity Development:** Description of any capacity development activities carried out, including the number of people trained and the skills developed.

9. Challenges and Risk Mitigation

- a) **Challenges Faced:** Description of the difficulties encountered during project implementation, such as logistical delays, community barriers, or adverse weather conditions.
- b) **Mitigation Actions:** Explanation of the measures adopted to mitigate the identified risks and how challenges are being addressed to ensure achievement of the project objectives.
- c) **Newly identified risks:** Description of the newly identified risks and explanation of the measures that will be adopted to mitigate them. (If applicable).

10. Next Steps and Projections for the Next Period

- a) **Planned Activities:** Description of the activities planned for the next semester, including an implementation schedule and the resources required. If any activities are pending, explain their rescheduling.
- b) **Goals and Objectives:** Reaffirmation of the key goals for the next implementation period, aligned with the overall objectives of the project, detailing the goals and indicators to be achieved.

11. Conclusions and Recommendations

- a) Provide a percentage breakdown of project progress. The Executor may include recommendations to the BCA Fund on potential improvements to the follow-up process or to the monitoring and evaluation tools.

BASE TEMPLATE FOR FINANCIAL REPORTS FOR PROJECTS FUNDED BY THE BIOCORREDOR AMAZÓNICO FUND (BCA FUND)

A. Purpose

The financial report aims to provide detailed monitoring of the use of financial resources provided to the Executors of the BIOCORREDOR AMAZÓNICO FUND (BCA Fund) projects.



This report must be submitted semiannually together with the technical report and must be aligned with the terms and conditions of the grant agreement.

It should be noted that the BCA Fund may require additional reports at different intervals, depending on the project category or upon express request for oversight and monitoring purposes.

B. Contents of the Financial Report

The financial report must include the content detailed below to ensure clarity and accuracy in the presentation of the information:

1. General Information

- a) **Grant Category:** *Category type.*
- b) **Project code:** *Enter code*

- c) **Project Title:** Full title of the funded project.
- d) **Implementing entity:** Name of the organization responsible for implementing the project.
- e) **Reporting Period:** Duration of the period covered by the report (e.g., first half of fiscal year 2025).
- f) **Approved Amount for Current Implementation:** Total budget approved by the BCA Fund for the period under review.
- g) **Cumulative approved amount:** Approved total budget by the BCA Fund from the start of the grant through the period under review.
- h) **Disbursed Amount:** Funds disbursed during the reporting period requested (e.g., first half of 2025).
- i) **Cumulative amount disbursed:** Funds disbursed from the start of the grant through the period under review.

- j) **Submission date**

2. Financial Summary

- 1. **Brief description of the project's financial status during the reporting period.** Comments should be included on the efficiency of resource use, the level of budget execution, and any adjustments made.
- 2. **Approved Budget vs. Actual Expenditures:** Comparison between the budget approved by the BCA Fund and the expenditures incurred during the reporting period.

This section should include a table detailing the following:

- Expenditure Category: (e.g., salaries, benefits, travel, supplies, etc.)



- Approved Budget: Original amount approved for each expenditure category.
- Expenditures Incurred: Amount actually spent during the reporting period.
- Difference: Positive deviation (savings) or negative deviation (cost overruns) in each category. If the deviation is negative, the plan to address the variance must be included.
- Available balance

3. Budget Execution Details

Each budget line item must be broken down to provide greater clarity on the use of resources.

There must be a technical justification for the proposed costs (including unit prices and market rates, among others).

The percentage of the approved budget accounted for by these expenditures must be included.

- Salaries:** Breakdown of payments made to personnel contracted by the implementing entity. Indicate the number of employees, their roles, and the amounts paid.
- Benefits:** Payments made for additional benefits, such as insurance, compensation, or contributions to pension funds for personnel.
- Travel:** Provide details on the number of trips undertaken, their purpose, and related costs (transportation, accommodation, per diem). Please refer to the following table containing reference values:

REFERENCE VALUES TRAVEL COSTS IN THE AMAZON		
Category	Reference Value (in US dollars)	Capacity
Accommodation	\$50.00	1 room
Meals	\$30.00	2 meals
Air transport (round trip)	\$300.00	1 passenger
Ground transport*	\$250.00	1 vehicle
Vehicle rental	\$600.00	4 passengers
River transport by boat	\$12.00	1 passenger
REFERENCE VALUES TRAVEL COSTS IN THE AMAZON		
Workshop event (Hotel / Lodge)	\$1,200.00	50 people
Workshop event (Hotel / Lodge)	\$2,000.00	100 people
Community workshops*	\$750.00	50 people
Community workshops**	\$1,500.00	100 people
* Reference value for mobilization Quito – Puyo – Quito for 4 people.		
** Includes two refreshments and one lunch (USD 15 per person).		



- d) **Supplies:** Provide details on the procurement of materials required for project implementation, such as stationery and office or field supplies.
- e) **Equipment:** Description of the equipment procured for the project, specifying its purpose, cost, and whether the procurement was in line with what was approved in the budget.
- f) **Contractual:** Payments made to external consultants, contracted companies, or other financial resources provided to local organizations for the implementation of specific activities. Describe the purpose and value of each type of financial resource.
- g) **Training/Seminars/Workshops:** Costs associated with organizing or participating in training events, seminars, or workshops for beneficiaries or project staff.
- h) **Other (specify):** Include any other expenditure not covered under the above budget lines, clearly specifying its nature and justification.
- i) **Management fee (if any):** If the grant agreement includes a management fee, specify the amount and the proportion of the total budget allocated to cover these administrative costs.

The relevant accounting supporting documents must be submitted in accordance with applicable legal requirements and in compliance with the BCA Fund policies; these will be detailed in a supporting table that will include the following:

- a) Receipt No.
- b) Date
- c) Supplier/Beneficiary
- d) Expenditure Concept
- e) Budget line item
- f) USD value
- g) Observations

4. Budget Variances

This section must include a detailed explanation of any significant variance between the approved budget and the expenditures incurred:

- a) **Positive Deviations (Savings):** Explanation of the reasons why savings have occurred in certain categories. These savings may result from efficient management or changes in the cost of inputs or services.
- b) **Negative Deviations (Cost Overruns):** Justification for cost overruns in any of the expenditure categories. Negative deviations must be supported by a detailed explanation and the measures adopted to mitigate their impact in the future.

5. Co-financing

If the project has received co-financing from other organizations, this section must provide a summary of the funds obtained from other sources and how they have been used:



- a) **Amount of co-financing received:** Indicate the total amount of funds provided by other institutions or donors.
- b) **Distribution of co-financing:** Explain how these funds have been used in the project, detailing the expenditure categories to which they have been allocated.

6. Future Disbursements Report

This section must include a projection of the funds required for the next six months of the project, in accordance with the work plan:

- a) **Requested Amount for the Next Period:** Indicate the amount of funding required for the next implementation phase (as detailed in the approved proposal).
- b) **Justification for Requested Funds:** Explain how these funds will be used for the planned activities, detailing the budget categories and their relationship to the project objectives (as set out in the approved proposal).

7. Supporting Documentation

Copies of all supporting documents for expenditures incurred during the reporting period must be attached, such as:

- a) Invoices.
- b) Proof of bank transfers.
- c) Consultancy contracts or procurement of services.

All documents must be properly organized and numbered to facilitate audit and review.



I, Heather Hayes, with national ID number 1719847715, hereby certify that the attached is a complete and accurate English translation of the original Spanish language version of the attached document: *Anexo 4, Formato para Modelo Base de Informes Técnicos y Financieros*, and that I am competent in both the English and Spanish languages to render such translation.

Signature of Translator

Translator:

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March 31, 2026

Date

**The translator is a U.S. citizen, certified translator, and member No. 66 of ATIEC (The Ecuadorian Association of Translators and Interpreters), as well as an accredited court translator for Ecuador with accreditation number 18-00207-00006*

