



**The Regional Organization for the Conservation  
of the Environment of the Red Sea & Gulf of Aden  
(PERSGA)**

## **Community Participation Programme (CPP)**

*(Community participation projects funded through micro grants)*

### **MANUAL & OPERATING PROCEDURES**

**March 2002**

**pdfMachine**

**Is a pdf writer that produces quality PDF files with ease!**

Produce quality PDF files in seconds and preserve the integrity of your original documents. Compatible across nearly all Windows platforms, if you can print from a windows application you can use pdfMachine.

Get yours now!

## TABLE OF CONTENTS

	PAGE
<b>ACRONYMS</b> .....	<b>3</b>
<b>I. FORWARD</b> .....	<b>5</b>
<b>II. OVERVIEW</b> .....	<b>6</b>
A. Strategic Action Programme (SAP).....	6
B. Background of Community Participation Projects (CPP) .....	6
C. Goal & Objectives.....	7
<b>III CPP STRUCTURE</b> .....	<b>7</b>
A. CPP at PERSGA HQ.....	7
.....	
B. CPP Country Programme Structure .....	8
1. Overview.....	8
2. PERSGA National Offices .....	8
3. In-country Institutional Arrangements .....	8
4. CPP Regional & Country Programme Strategy (CPS)	
C. Figure 1- CPP Organization Chart .....	9
<b>IV. CPP BUDGET</b> .....	<b>0</b>
<b>V. CPP PROJECTS CYCLE</b> .....	<b>0</b>
A. Eligibility and Selection Criteria.....	1
B. CPP Request For Proposals (RFP) Announcement.....	1
C. Concept Paper .....	2
D. Planning Grants.....	3
Figure 2: Flow Chart of Grant Disbursements & CPP Development .....	4
E. Project Proposal.....	5
<b>VI. PROJECT INSTRUMENTS AND FUND DISBURSEMENT</b> .....	<b>5</b>
A. Competitive Review Process .....	5
B. Award Process.....	5
1. Notification of Awards. ....	6
2. Grant Agreement (GA) .....	6
3. Disbursement Process.....	6
a. Award Summary Form.....	6
b Grant Disbursement Table .....	7
c. Progress Report & Request for Grant Disbursement Report.....	7
4. Disbursements to Bank Account .....	8
<b>VII CPP MONITORING &amp; EVALUATION (M&amp;E)</b> .....	<b>8</b>

<b>VIII REPORTING.....</b>	<b>9</b>
A. Overview .....	9
B. Country Level Reports.....	9
1. Quarterly Grants Disbursement Table Report.....	9
2. Quarterly Progress Report & Request for Grant Disbursement (by Grantee)	
3. Site Visit Report (Monitoring Progress) .....	9
4. Final Report .....	10
5. Lessons Learned Report (End of Project) .....	10
6. Semi-Annual CPP Progress Report .....	10
7. Annual Programme Review Report.....	11
<b>IX REFERENCES:.....</b>	<b>12</b>

**ANNEXES**

- Annex No. 1. Responsibilities For CPP At Regional Level**
- Annex No. 2 National Level Supervision**
- Annex No. 3. Basic Model Grant Agreement**
- Annex No. 4. Award Summary Form**
- Annex No. 5. Grants Disbursement Table**
- Annex No. 6. Progress Report and Request For Grant Disbursement**
- Annex No. 7. Site Visit Report**
- Annex No. 8. Final Report**
- Annex No. 9. Assessment of Lessons Learned**
- Annex No. 10 Semi-Annual Progress Report**

**APPENDIX**

- Appendix I: Guidelines for Proposal Submission**
- Appendix II: Proposal Cover Page**
- Appendix III: Proposed Total Project Budget**
- Appendix IV: Project Work Plan and Monitoring Schedule**

**pdfMachine**

**Is a pdf writer that produces quality PDF files with ease!**

Produce quality PDF files in seconds and preserve the integrity of your original documents. Compatible across nearly all Windows platforms, if you can print from a windows application you can use pdfMachine.

Get yours now!

## ACRONYMS

CBO	Community-Based Organizations
CPS	Country Programme Strategy
CPP	Community Participation Projects
CTA	Chief Technical Advisor
GA	Grant Agreement
GEF	Global Environment Facility/UNDP
FP	Focal Point
HQ	Headquarters (PERSGA)
LS	Lead Specialist
M&E	Monitoring & Evaluation
NGO	Non Government Organization/s
NHI	National Host Institution
NPC	National Programme Coordinator
NSC	National Steering Committee
PAP	Public Awareness Programme
PC	PERGSA Project Coordinator
PERSGA	the Regional Organization for the Conservation of the Environment of the Red Sea & Gulf of Aden
RFP	Request for Proposals
RSGA	Red Sea & Gulf of Aden Region
RSC	Regional Steering Committee
RPC	Regional Programme Coordinator
SAP	Strategic Action Programme (for Red Sea & Gulf of Aden)
SC	Steering Committee
SGP	Small Grants Programme– UNDP/GEF
TF	Task Force
TOT	Training of Trainers
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
WG	Working Group

**pdfMachine**

**Is a pdf writer that produces quality PDF files with ease!**

Produce quality PDF files in seconds and preserve the integrity of your original documents. Compatible across nearly all Windows platforms, if you can print from a windows application you can use pdfMachine.

Get yours now!

## I. FORWARD

This Manual provides procedures and guidelines for the management and implementation of the PERSGA Community Participation Projects (CPP). Much of the methodology and reporting practices of the UNDP's Global Environment Facility (GEF) Small Grants Programme (SGP) has been utilized in the design of CPP. SGP is an excellent field-tested model with many years of operational experience and many lessons were learned from those experiences. In addition, methodology and reporting procedures of community participation and micro-grants programmes of several other organizations were studied. Some of the most practical and appropriate concepts and procedures are incorporated in this document.

Appendix I to this document contains Guidelines for Non-Governmental Organizations (NGOs) and Community-Based Organizations (CBOs) and other potential grantees to assist them in preparing a grant project proposal for CPP funding. The guidelines also include criteria for eligibility and selection, as well as proposal format and submission and several model forms to facilitate proposal development and submission. This manual and operating procedures are expected to satisfy the needs of the various managers, implementers, partners, and stakeholders of the CPP at the national and the regional levels.

The Manual is the result of a comprehensive field assessment of issues of concern affecting public awareness of the need to protect marine and coastal resources in the Red Sea and Gulf of Aden Region (RSGA). The assessment included meetings with Ministers of environment, social affairs, fisheries, transport, tourism and maritime resources, as well as meetings with staff of UNDP projects and the Social Fund for Development as well as a study of the GEF Small Grants Programme experiences. Site visits were also conducted to target areas, to Non-Governmental Organizations (NGOs), community-based organizations (CBOs) and fisheries cooperatives. Focus group discussions, held in the designated areas, were attended by community leaders, local authorities, donors and NGOs and other stakeholders to identify priorities and strategies.

## II. OVERVIEW

### A. Strategic Action Programme (SAP)

The Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden (PERSGA) is currently implementing the Strategic Action Programme (SAP) for the Red Sea and Gulf of Aden.

SAP is a GEF-funded project (UNDP, UNEP and World Bank) which aims to establish a regional framework for the protection of the environment and the sustainable development of coastal and marine resources of the countries of the Red Sea and the Gulf of Aden. The project is multi-faceted and has been divided up into six interconnected components dealing with the following issues:

- Institutional strengthening to facilitate regional cooperation.
- Reduction of navigation risks and marine pollution.
- Sustainable use and management of living marine resources.
- Habitat and biodiversity conservation
- Development of regional network of marine protected areas.
- Support for integrated coastal zone management.

### B. Background of Community Participation Projects (CPP)

The PERSGA Community Participation Projects (CPP) will provide grants of up to US\$20,000 to NGOs/CBOs, associations, research institutions, private sector or individuals for activities that address local, national, regional and environmental issues related to the PERSGA areas of concern. PERSGA expects that proposing organizations will ensure the involvement of women, youth and other marginalized groups in its activities and interests. Local projects with regional implications will be given priority.

Community Participation Projects (CPP) is rooted in the belief that regional environmental problems can only be addressed adequately if local people are involved. With grant funds combined with local contributions, communities can undertake activities that will make a significant difference in their lives and in their environment. Activities will be directed to building the capacities of communities and local NGOs/CBOs to address local and regional concerns. Such activities could prove to be an invaluable source for partnership and participation to improve environment and raise awareness of environmental issues.

The core of the PERSGA/CPP is grant-making to eligible NGOs and CBOs to implement priority PERSGA activities identified in the Country Programme Strategy (CPS.) The CPP recognizes the essential role that households, communities, and NGOs, applying locally appropriate solutions, can play in conserving bio-diversity, reducing the likelihood of adverse climate change, and protecting international waters. The CPP operates on the premise that people will be empowered to protect their environment when they are organized to take action, have a measure of control over access to the natural resource base, have the necessary information and knowledge, and believe that their social and economic well-being is dependent on sound long-term resource management. The CPP tries to provide alternative sustainable livelihoods to communities who may otherwise be obliged to overexploit their natural resources. When communities perceive a direct benefit from CPP-funded interventions, the sustainability of project activities and objectives is greatly increased.

NGOs/CBOs, associations, research institutions and other entities are encouraged to develop interventions in response to priority needs that affect the conservation of the environment and the well-being of the inhabitants of coastal areas. The

proposed activities should be effective, transparent, responsive and accountable to the membership of the proposing NGO/CBO or other organizations.

### C. Goal & Objectives

The specific goal of the Community Participation Projects (CPP) is to provide financial and technical support to local environmental and community groups, organizations, research institutions, private sector firms and/or individuals to undertake micro projects and demonstration activities in partnership with stakeholders and other agencies that raise public awareness and apply sustainable resources development in coastal and marine areas -- and to assist in building up the capacity of NGOs to achieve this goal.

The main objective of PERSGA CPP is to raise environmental awareness of decision-makers and the public towards issues and opportunities that exist in coastal areas. Specifically the CPP objectives are to:

- a) enhance public awareness of the importance of coastal and marine resources in the region,
- b) promote the active role of the public in their conservation, and
- c) access communities and assist them in accepting and adopting *best practices* and new understanding of their coastal environment as a source of economic support and an improved quality of life.

It is important to incorporate the needs of local communities in the CPP as this is an important incentive to mobilize these communities to address local and regional environmental problems. Also, mobilizing local and national resources (including in-kind contributions, particularly in the form of technical assistance), will increase the sense of community and national ownership of the CPP and will facilitate sustainability of projects initiated with CPP grants and of the programme as a whole.

CPP projects should incorporate participatory monitoring and assessment into their design and implementation. This will further enhance the involvement of affected communities and stakeholders in CPP, provide for better correction during implementation and ensure that lessons are articulated and learned by the participants themselves. The involvement of key stakeholders contributes to community *ownership*, helps build consensus about the CPP's approach, and promotes mutual understanding.

## III. CPP STRUCTURE

### A. CPP at PERSGA HQ

#### 1. Overview

The institutional structure established to manage the CPP is based on a decentralized, country-driven vision that enables more democratic and effective participation of the CPP stakeholders and communities. This will be achieved through:

- rigorous focusing of projects;
- consistency with GEF criteria;
- increased capacity building and technical assistance;
- better monitoring and evaluation; and
- more effective outreach.



To ensure a high level of coordination and backstopping, strategic planning, and support, a Regional Steering Committee (RSC) will be formed. The membership of the RSC will consist of, but not limited to, Secretary General, Project Manager, PERSGA Coordinator (PC), Public Awareness Programme (PAP) Lead Specialist (LS) and UNDP Programme Coordinator.

Lead Specialists of the various SAP components will provide knowledge, technical expertise and close follow-up that will ensure sound direction of the CPP. PERSGA will approve all CPP grant proposals and will arrange to disburse grant funds to each country office.

Regional Coordination : In the interim period, PAP Lead Specialist will act as the regional programme coordinator . (See Annex 1 – Responsibilities for CPP at Regional Level.)

## **B. CPP Country Programme Structure**

### **1. National Coordinator**

The CPP operates in a decentralized and country-driven manner through the National Coordinator and the National Steering Committee (NSC).

The NSC will be composed of PERSGA Focal Point, each country's UNDP representative or his/her delegate, Ministry of Environment, local administration, donor agencies, local active NGOs/CBOs, academic and scientific institutions, PERSGA Task Force (TF) member and the National Programme Coordinator (NPC) in addition to representatives of the private sector and Task Groups members. This Committee is created to help plan, coordinate and implement the CPP in accordance with PERGSA SAP. It offers a venue where planning, coordination and implementation of work among all partners can regularly take place. (See Annex 2 – National Level Supervision.)

The above approach has potential to be applicable in the RSGA Region, utilizing PERSGA outreach and experience accumulated during recent years. The National Programme Coordinators have established good networks with country governments, local administration authorities, international donors, NGOs, CBOs and local stakeholders and therefore are the key implementers of the CPP. The working group members, including volunteers, act as links with local stakeholders and can provide strong involvement through promotion, communication and coordination. *See CPP Organization Chart on page 10.*

### **2. PERSGA National Offices**

It is the objective of PERSGA to establish formal offices for its operations in each country. PERSGA recognizes that it is important to maintain a local presence in order to pursue its strategic development plans on a full-time basis. It is necessary for PERSGA to be accessible to the public and private sectors to deal with the daily issues that arise in its development programme

In the interim period before the office is established, the National Programme Coordinator (NPC) will perform the additional duties of a PERSGA Representative. The NPC will also seek to solidify an institutional arrangement with a viable local NGO or other private or public sector entity that will be willing and able to host the supervisory and office staff that will carry out the PERSGA Community Participation Projects.

### **3. In-country Institutional Arrangements**

An in-country arrangement should be established with the UNDP, a national agency or preferably, a national host institution (NHI), such as a reputable and respected national umbrella NGO, that can provide critical technical support and administrative services in implementing the CPP. However the entity providing the institutional arrangement will, for the

immediate future, have no responsibilities for the implementation of the CPP -- aside from possibly being a member of the National Steering Committee.

A functioning, active and supportive national host institution is a key PERSGA objective as the NGO community and SAP goals for the region will benefit from an active lead national organization. An NHI should possess national stature and credibility, have compatible objectives with PERSGA, good working relations with CBOs and other NGOs, programme and management capacity, and a willingness to participate in micro-grants administration. The selection of the NHI should be done in consultation with PERSGA.

#### **4. CPP Regional & Country Programme Strategy (CPS)**

PERSGA has developed a Regional Programme Strategy in collaboration with various stakeholders and the Country Programme Coordinators. Through transparent and participatory workshops and conferences, PERSGA will fine-tune its priorities, its approach and its regional strategy whenever it is warranted. This is communicated to all offices of the RSGA region. The country programme strategy (CPS) is the basis for all PERSGA operations in the country and ensures that it is compatible with and supportive of PERSGA strategic framework and focal areas. It provides a beneficial framework for allocating resources for the CPP and guiding programme implementation.

The strategy should comply with PERSGA CPP criteria for the design, selection and implementation of the projects. There has to be a close adherence to the approved focal areas and operations. The NSC should review country priorities for CPP in coordination with the Regional Coordinator to ensure that it is properly focused.

The development of the country strategy is a priority and should involve the NSC and key CPP stakeholders. It should be developed and approved by PERSGA before *any* grant funds can be committed to projects.

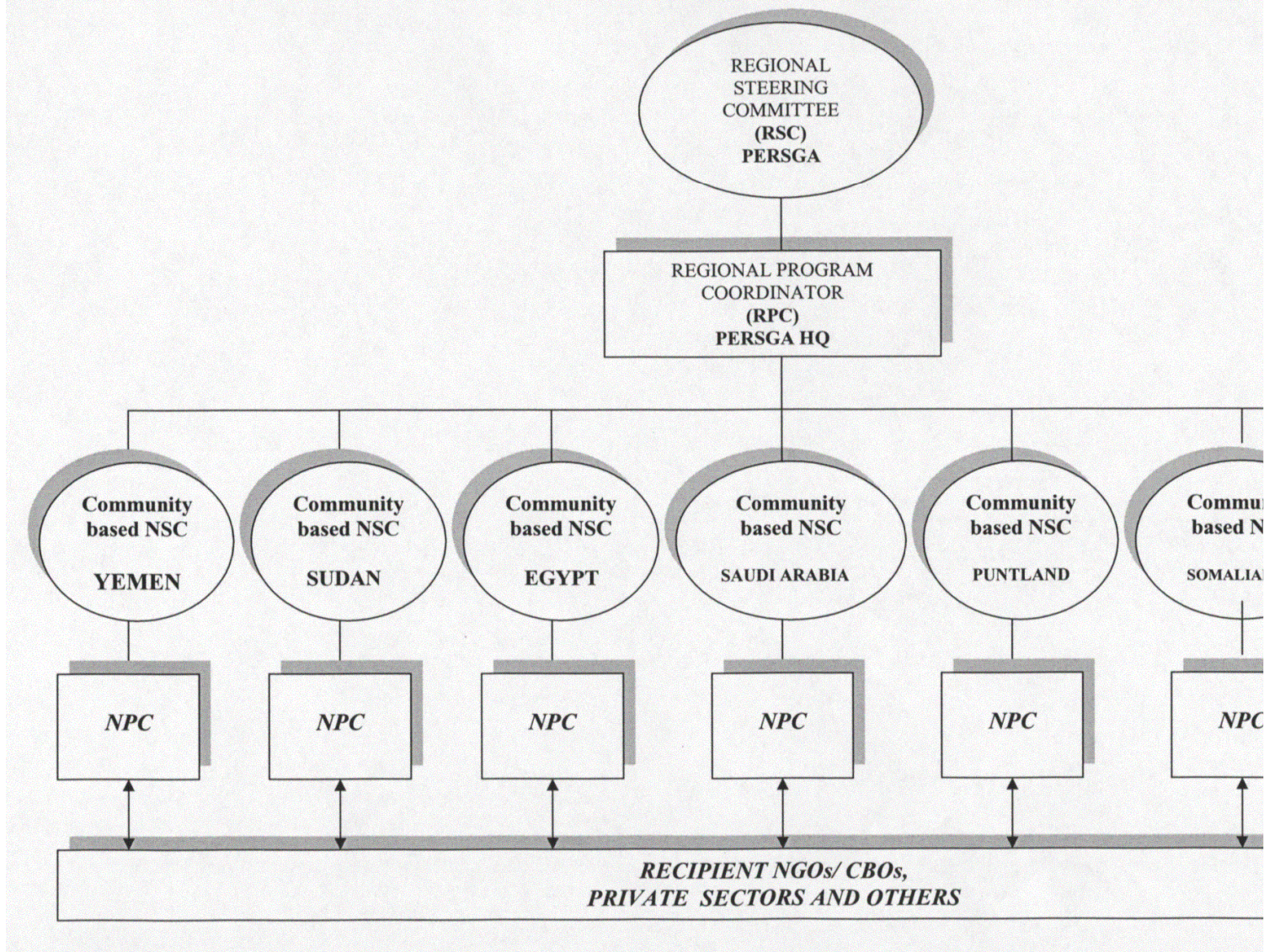
It is very important to provide the CPP Applicants with as much background information to help them to target the essential SAP activities. Therefore appropriate documents such as the pertinent sections from the CPS should be excerpted and attached to the guidelines (Appendix I).

### **C. CPP Organization Chart Figure 1**

#### **PERSGA/ COMMUNITY PARTICIPATION PROJECTS**

**See next page**

# CPP Organization Chart



pdfMachine

Is a pdf writer that produces quality PDF files with ease!

Produce quality PDF files in seconds and preserve the integrity of your original documents. Compatible across nearly all Windows platforms, if you can print from a windows application you can use pdfMachine.

Get yours now!

so all applicants will be informed of the priority activities and interventions that are eligible for CPP funding.

#### **IV. CPP BUDGET**

PERSGA headquarters (HQ) will notify National Programme Coordinators of the amount of grant funds that will be available, on a country-by-country basis, at the beginning of the CPP fiscal year. That amount will be a rough indication to the NPC to roughly plan how many project activities can be implemented during the year. The amount that will be actually provided to each country is entirely dependent on the fact that the proposals submitted are of a high enough quality that will warrant funding. Proposals that do not meet the established standards and criteria will not be funded.

NPCs will be provided with grant funds allocations on a quarterly basis – but only after all documentation from the grantees and the NPC required to justify the expenditures has been received and reviewed by PERSGA HQ. The amount of funds provided to the NPC will equal the quarterly allocation to each of the grantees that are on schedule with their activity implementation.

All CPP applicants will provide detailed budgets along with proposals – as called for in the Guidelines in Appendix I. Grantees must submit progress and financial reports that will be reviewed and approved by the NPC.

#### **V. CPP PROJECT CYCLE**

The following describes the major steps in the cycle for developing, implementing, and administering a CPP community-based project. The process of developing and implementing a CPP project should take place in a participatory and consultative manner and normally involves the following steps: (*see figure 2 -CPP Cycle- on page 15*)

- Country Programme Strategy (CPS) Approved
- NPC/NSC should tailor Eligibility Criteria and Guidelines for Project Concepts and proposals Based on CPS, local conditions and capacities of NGOs
- Programme Announcement (public or limited)
- Dissemination of Information about Eligibility Criteria and How to Prepare and Submit Project Concepts through meetings
- CBO/NGO Identification of Problem/Threat in PERSGA Focal Area and in line with priorities outlined in country program strategy
- CBO/ NGO Preparation of Project Concept
- Consultation with NPC and lead specialist, if necessary
- NPC/NSC Review and Selection of Project Concepts
- Planning Grants Authorized as Necessary for Community-based Proposal Development
- Analysis of Baseline Conditions
- Definition of Project Objectives, Expected Results, Activities, and M&E Plan in accordance with PERSGA/CPP and CPS priorities
- NSC Review and Proposal Selection According to Established Eligibility and Selection Criteria

- Rejection. Approval. or Reformulation.
- Signature of Grant Agreement (GA) between Grant Recipient and PERSGA
- Release of First Grant Disbursement
- Project Implementation and Participatory Monitoring
- Release of Subsequent Grant Disbursements Based on Technical and Financial Reports
- Project Participatory Assessment of Effects in the CPP Focal Areas / Regional Benefit
- Dissemination and Application of Lessons Learned and Best Practices by CPP and Project Stakeholders

### **Proposal Time Line**

PERSGA expects to make funding available for the Community Participation Projects in 2002. The CPP grant program will be tested for one year and the following are the critical timing points for the NPCs in the project cycle:

- A. Announcement of CPP in media for NGOs to solicit guidelines that NPC will send out immediately.
- B. Allow one month for submission of concept papers from interested NGOs.
- C. Allow two weeks for review, selection of best concepts and notification of NGOs to proceed to prepare proposals.
- D. Allow one month for receipt of proposals and budgets
- E. Allow three weeks to review proposals and select winners.
- F. Allow two weeks to make pre-award visit and negotiate Grant Agreements with winning NGOs.
- G. Allow three weeks to make first disbursement of funds to grantees.
- H. 2<sup>nd</sup> Round Announcement of CPP in media for NGOs to solicit guidelines that NPC will send out immediately.

#### **A. Eligibility and Selection Criteria**

Requesting organizations should have a stable structure, adequate staff to operate, supervise and monitor proposed project activity and established financial and administrative systems to ensure financial and administrative responsibility. Such organizations shall justify the importance, priority and viability of proposed activities.

Criteria utilized in selecting the NGOs that will be awarded grants are very specific and detailed. The eligibility and selection criteria should be carefully considered in making grant awards. These are included in the attached model guidelines for Applicants and potential grantees (Appendix I) but *may be modified* by the NPC and NSC according to needs and capacity of the potential grantees and the local situation.

#### **B. CPP Request For Proposals (RFP) Announcement**

Each country should adopt or revise its Country Programme Strategy, and identify the specific priorities it wishes to address in the CPP. This should be approved by PERSGA. Then it should prepare and

issue a CPP Programme Announcement which includes CPP Project Proposal Preparation Guidelines (See Appendix I for model guidelines) setting forth the eligibility and selection criteria and grant making priorities, the application/proposal review process, and the formats for project concept and proposal development extracts of the country program strategy should be attached to inform applicants if priority interventions that PERSGA is willing to fund under the CPP. The NSC should also attach any other pertinent background materials that will assist the Applicants to prepare SAP-relevant proposals. In addition to extracts of the CPS, the background materials can be reports, professional articles, report writing tips and suggestions and other written material that will assist Applicant to prepare a relevant proposal.

The announcement information should clearly state that the CPP makes grants to NGOs and CBOs in the PERSGA focal areas, and that project costs may not exceed US\$ 20,000. It should also state whether an NGO or CBO may present a subsequent proposal after completion of a first project.

It is up to the NSC and NPC to decide if an NGO/CBO may be awarded only one CPP grant. It may be appropriate to allow an NGO/CBO to receive more than one CPP grant as long as the cumulative total does not exceed a certain sum, say US\$ 30,000. Based on prior consultation with PERSGA, NSC may authorize a second grant to a NGO/CBO beyond the US\$ 20,000 grant ceiling for follow-up activities to a successful CPP project, or if the second proposal is of special interest. The NSC in each country should adopt a policy about second proposals as part of its project selection criteria.

National Programme Coordinator (NPC) will use relevant and appropriate media to periodically (semiannually or annually) announce the offer of the Community Participation Projects Request For Proposals (RFP.) Announcements will be targeted for environmental NGOs/CBOs and other interested local groups and organizations to submit proposals in the required format and terms to the National Project Coordinator. Interested parties can request to receive the Guidelines and required documents to prepare a proposal.

A national workshop for project design and proposal writing may be considered for NGOs, CBOs and representatives of donors and local authorities to announce the CPP. If there is justification not to publicly announce the CPP in the media, National Programme Coordinator may send *CPP Project Proposal Guidelines* to a limited number of known and established NGOs and groups to facilitate the bidding process. However, the public announcement is a more transparent method of publicizing the CPP opportunity -- but there may be valid reasons not to make a mass public announcement. This should be discussed and confirmed with PERSGA headquarters.

### **C. Concept Paper**

NGOs interested in CPP should *first* submit a Concept Paper and preliminary budget to indicate, in broad strokes, the general ideas behind each proposed activity – before submitting detailed proposals. In this way both the Applicant/NGO and the NPC will avoid the effort and expense of preparing and reviewing proposals that are not suitable or do not meet the eligibility or selection criteria. It also is an effective method to filter out inappropriate or overly expensive project activities. Only after acceptance of the concept paper and written approval by the NPC should the NGO make the effort to develop and submit a proposal.

An outline for the Project Concept is provided in Appendix I. It is worthwhile to reiterate that

PERSGA recommends that the guidelines be modified or simplified by the NSC and NPC according to the local conditions and the capacity of the potential grant applicants.

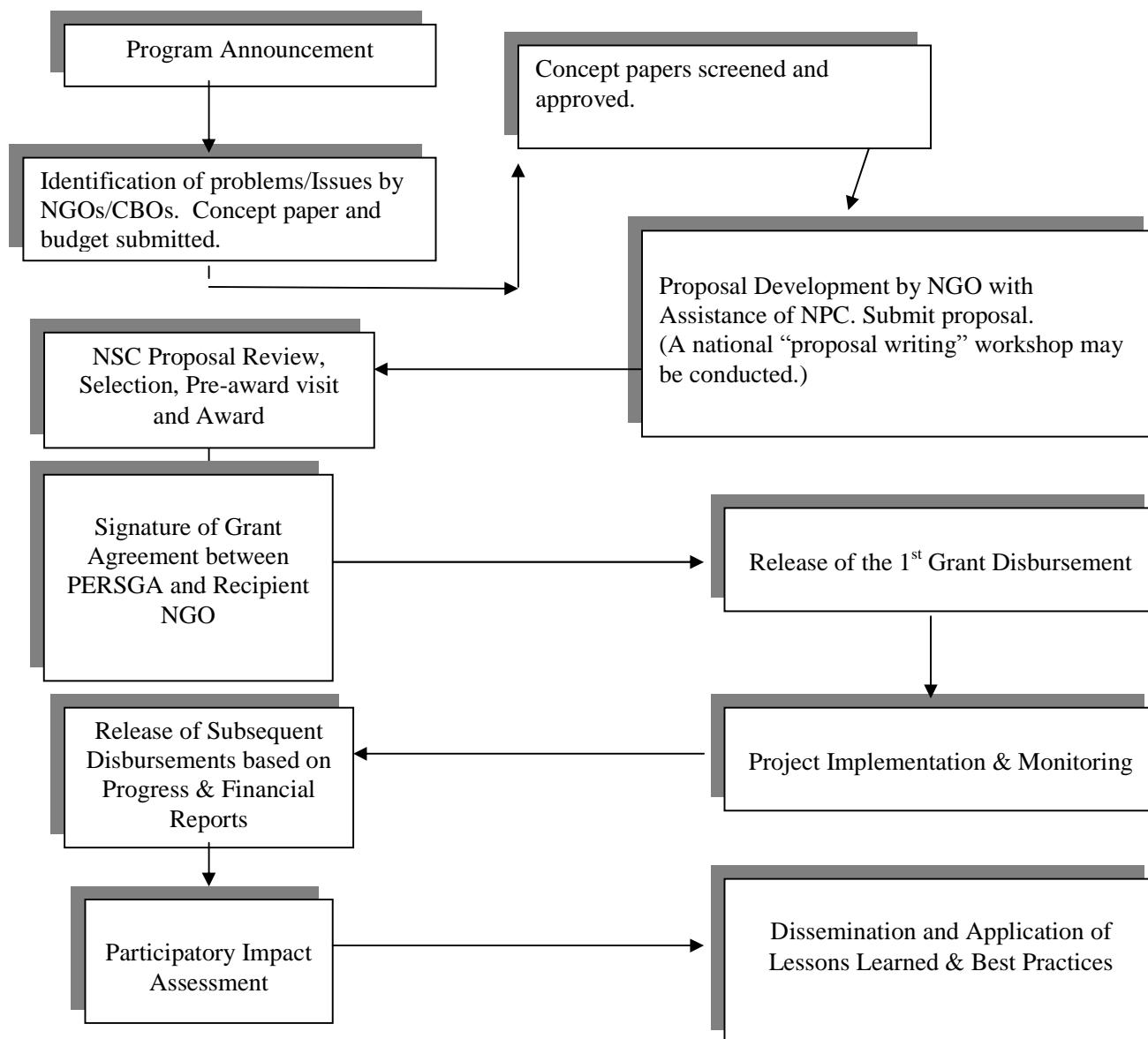
NGO/CBO project concepts may be reviewed and selected by the NPC or jointly by the NPC and NSC and this should be decided mutually. For speed and efficiency, it is desirable for the NPC to be solely responsible for reviewing and selecting project concepts. However, this is not a rule and the NSC may decide to make the final approval of project concepts. Each country programme should determine which modality it will follow, and to periodically review this decision to make sure that the modality chosen is working well. In both cases, project concept selection should be done on the basis of established eligibility and selection criteria in accordance with the CPS. Once the concepts have been selected, the proponent organizations will be notified of this decision and asked to develop complete project proposals.

It is important to achieve good project proposals that meet the PERSGA and GEF criteria. It is an important part of the NPC's responsibilities to work with NGOs and CBOs in proposal development.

#### **D. Planning Grants**

In order to achieve good project proposals that meet CPP guidelines and criteria, it may be necessary to fund a small grant of no more than US\$ 1,000 to assist an inexperienced NGO develop a high priority proposal. It may be used to enhance capacity to understand the project cycle and design proposals or to facilitate a community workshop or stakeholders project design workshop in a participatory manner. As this is a grant, it has to be handled as a regular CPP grant request.

**Figure 2**  
**Flow Chart of Grant Disbursements & CPP Development**



*NSC=National Steering Committee. NPC=National Programme Coordinator.*

**pdfMachine**  
**Is a pdf writer that produces quality PDF files with ease!**  
 Produce quality PDF files in seconds and preserve the integrity of your original documents. Compatible across nearly all Windows platforms, if you can print from a windows application you can use pdfMachine.  
 Get yours now!



## **E. Project Proposal**

The project proposal is to be developed after the concept paper has been approved. The CPP proposal is the most needed document to justify a grant so the proposing organization must clearly articulate how the project activities will have an effect on the focal areas and how the project will be undertaken. PERSGA understands that many of the NGOs/CBOs are young and inexperienced and lacking somewhat in capacity to prepare their proposals. PERSGA feels that the project proposal should be as simple as is necessary to encourage participation by CBOs and less experienced NGOs. Therefore, it is the intention of PERSGA that the proposals not be overly burdensome to the proposing organizations. However, it is essential that the essence of good planning and design be included in the proposals so NSC can properly assess the best proposals. For that reason the number of pages has been limited. Please note that the model guidelines, in Appendix I, are detailed and informative in order to provide the proposing organizations with clear statements of what is the required information and how it can be compiled by the Applicant. The NSC and NPC may modify the proposal outline according to the country situation and capacity of the organizations that will be applying for grants. The outline in Appendix I is a general and ideal proposal format. An experienced NGO/CBO that has been awarded past grants should be able to deal with the format but it will be too detailed for a relatively new NGO. A *Planning Grant* may be appropriate in certain cases when Project Concept provided by a new NGO is interesting but it lacks capacity to develop a proposal according to the required format.

The proposal shall include (a) Proposal Cover Page including Applicant Information (Appendix II) (b) Detailed Proposal *not to exceed 10 pages* plus (c) Project Work Plan and Monitoring Schedule (Appendix III) and (d) Line item Budget and budget notes (no page limit.) (See Appendix IV.)

## **VII. PROJECT INSTRUMENTS AND FUND DISBURSEMENT**

### **A. Competitive Review Process**

The National Programme Coordinator will review all proposals, assist applicants with reformulation, if needed, verify accuracy of proposal details by visit or other communications based on the Selection and Eligibility criteria included in proposal guidelines (Appendix I) The NPC will select the best of the proposals, arrange to have the proposals technically assessed by experts (if required). Those proposals that pass the technical review are considered to be the best rated of the proposals and are “*in the final competitive range of proposals.*” This assessment indicates that *each* proposal in the category is worthy, viable and eligible to be awarded a grant. The NPC will prepare a conclusive recommending memorandum for each final proposal and rank them in a priority order. This group of final possible proposals will be submitted to each of the members of the National Steering Committee (NSC) for review, evaluation, comment and ranking.

### **B. Award Process**

A meeting will be scheduled for the NSC in order to discuss the comments made by each of its members on each of the recommended proposals. At this meeting, the NSC will make its final decisions on the successful applicants and the amount of each grant award all the best proposals will be sent to PERSGA. In almost all cases, it is expected that PERSGA will concur with the NSC decisions. Any issues identified by PERSGA will be clarified through the NPC.

If a visit to the Applicant's office and project site was not made earlier, a pre-award survey by the NPC will be conducted to the NGO. The purpose is to physically visit the organization's office and to meet the organization's officials to verify and ensure that the project activity and the organization actually exists and is viable.

The number of grant awards will be dependent on the funds allocated for that granting session. It will also depend on the quality and number of proposals that were ranked to be in the final competitive range. It is not required for the NSC to utilize all the available grant funds of the national CPP budget if the quality of the proposals is not up to the standards demanded by the NSC. All decisions by the NSC are final.

### **1. Notification of Awards.**

Winners will be informed of the awards. PERSGA headquarters is to be informed of the awards and copies of each winning proposal are to be sent to PERSGA by the NPC.

All other proposing organizations should be notified in writing or by email that their proposals were not accepted. A brief letter/message should be sent to each unsuccessful applicant stating basically that (a) a large number of excellent concept papers/proposals were submitted and the competition to select finalists was high and available funds are limited; (b) while the Applicant's concept/proposal has merit, it was not selected (it is optional to provide reasons why it was not accepted.) (c) PERSGA regrets that it will not be able to fund the project; (d) express appreciation for the efforts made by Applicant; (e) hope Applicant can find funding from another source.

It is unfair to the Applicant to hold out hope to Applicant or raise their expectations for future funding if the proposal is not of high enough caliber to actually warrant future funding. This will only lead to unnecessary future correspondence and time and financial expense on both sides.

### **2. Grant Agreement (GA)**

An agreement is to be signed by the Grantee and PERGSA prior to *any* disbursement of funds. (See Annex 3.) The Grant Agreement (GA) is modeled on the *GEF/Small Grant Programme Memorandum of Agreement*. It provides for the grantee to utilize the funds only for the purposes for which it was requested and approved in the proposal and budget. It requires transparent financial management of all expenditures. Grantee must agree to make their financial records for the grant funds available for audit by NPC in order to verify and ensure that all grant funds are properly accounted for. Records of all expenditures must be available to be verified as correct. The Grantee will be financially responsible to reimburse any unauthorized, unallowed or unaccounted for expense. Quarterly Progress Reports should be submitted by the NGO to National Program Coordinator.

### **3. Disbursement Process**

#### **a. Award Summary Form**

The NPC will prepare an *Award Summary Form* for each NSC-approved grant. (See Annex 4.) This document will provide key information about the grantee and the grant including a brief description of the grant activity and location and grant value. This is a basic one-page document that will be used for

CPP monitoring by PERSGA as well as for information purposes for concerned stakeholders. It will be sent to each NSC member and to PERSGA and may be shared with other funding organizations. This form will include specifics of the payment schedule and amounts to be provided to each payee for each award, Grantee's contact coordinates, bank coordinates and other important data. It will be signed by NPC so that it can also serve as the authorization, along with the Grants Disbursement Table (see below), to transfer the first disbursement of funds to the Grantee.

The signed Award Summary Form and the signed Grant Agreement are the basis for authorizing the funding. Upon the completion of these two formalities, grant funds can be issued to the Grantee.

The handing-over of the Grant check by the NSC to the Grantee or a symbolic award ceremony may be done at a public event so that the planned project activity could be publicized.

## **B. Grant Disbursement Table**

After the NSC and PERSGA have agreed on the new projects, and Grant Agreements (GAs) have been signed by grant recipients, the NPC will prepare a grants disbursements table to send to PERSGA, along with all GAs. (See Annex 5.) The table should contain project identification numbers in sequential order, project names, grant recipients, date of signature of GAs, total amount of the grants in US dollars and local currency, duration of the grants (with starting and ending dates), disbursement schedules, i.e. date and amount of each disbursement.

This table is cumulative and the same table should be used to add each new project grant over the year so it can be reconciled and checked regularly.

Once PERSGA verifies that the GA and Award Summary Form are in conformance with the Grants Disbursement Table, an authorization to transfer funds to the grant recipients' accounts is sent. Each disbursement is contingent upon the grant recipient/project meeting the requirements outlined in the signed GA.

## **c. Progress Report & Request for Grant Disbursement Report**

The report format will be provided to the Grantee upon the first disbursement. Second and subsequent disbursements to the Grantee will be based on the satisfactory submission and acceptance of the Progress Report & Request for Grant Disbursement Report. (See Annex 6.)

The Grantee should provide this report quarterly to the National Programme Coordinator. It combines several important reports that are required to approve and justify the subsequent grant disbursement. This report:

- Requests the amount of the next grant disbursement and provides a summary of the financial status of the project;
- Requires a narrative report on the activities completed, problems encountered, and assesses project achievements to date against the work plan; These reports should convey a detailed summary of the activities during the quarter and how the activity is progressing. Each

respective report should also enable the grantee and the reviewer to determine whether the project is on course and following the original implementation plan, and to identify problems and formulate solutions as they arise.

- Requires for a financial report of expenditures during the past period, and
- Requires a cumulative expenditure report and a summary of the lifetime budget of the project, cumulative expenditures through the last quarter, expenditure for the current period, cumulative expenditure to date, budget balance to date.
- Requires details on the amount of contributions received and how these were used.

All reports are due no later than the tenth day after the close of each quarter. Each quarter ends on March 31, June 30, September 30 and December 31.

#### **4. Disbursements to Bank Account**

The fund disbursements are done through a request method. In order for PERSGA to deposit funds to an NGO's bank account, a funds request must be submitted to the NPC for verification and approval. Prior to submitting the funds request, the recipient agency must have submitted all financial reports on time with all receipts for the previous expenses. All original receipts must be made available to the NPC upon request. The NPC will then randomly sample the tabulated list of expenses and verify them with the report and actual receipts. If this sampling shows no discrepancies and the NPC has received the quarterly financial report (and activity progress is on schedule), additional funds are released to the NGO according to the project timeline for fund usage once the requested amount is approved.

### **VIII. CPP MONITORING & EVALUATION (M&E)**

Grantees must clearly demonstrate achievement of results in order to justify continued funding. Therefore the proposal must include a Monitoring & Evaluation (M&E) section. The proposal must detail the indicators, specify quantitative changes, and measurement methodologies that will be employed.

The Monitoring & Evaluation Plan describes how the baseline data were established; how impact and performance indicators are monitored and evaluated; what the targets are; what personnel/partners are involved in the effort; what assumptions, sampling information and measurement instruments are used; the grantee's contribution to the CPP supported goals, purpose and objectives; and the reporting schedule.

Each grantee will carry out a baseline survey of its work prior to starting project implementation. As well, the grantee must continue to collect all data required to report on a quarterly basis on the targets set out in its project plan. Reporting should be clear, concise and as accurate as possible, making reference to expected results, quantifiable targets and the activity work plan.

*Monitoring* allows CPP project staff and participants to identify and assess potential problems and obstacles during project and CPP implementation. Adjustments and corrections can then be made and thus enhance chances of project success.

*Evaluation* considers the results and effects of a project in terms of the local and global environment and the quality of life of the participants. Through this process, participants can attempt to understand and explain the effects of a project.

CPP views monitoring and evaluation, above all, as a participatory process which enables capacity building and understanding and applying lessons learned from project and CPP experiences. As such, CPP M&E activities are not intended to be and should not be regarded as judgmental or punitive measures.

## **IX. REPORTING**

### **A. Overview**

The National Program Coordinator will oversee the regular monitoring and reporting of impact of each grantee's development activity. PERSGA will work with each NPC to ensure that the SAP and CPP objectives are being met and that progress toward sub-objectives, performance indicators, targets and goals is recorded. Each NPC is ultimately responsible for:

- collecting and maintaining the appropriate data and records as accurately and timely as possible, and that this data is compared to the Grantee's targets, performance indicators and budgets outlined in the Grantee's project plan;
- Ensuring that the funds disbursed are being used by the Grantee for the purposes described in its approved plan;
- Ensuring that implementation schedules and activity plan are being followed as per the project proposal;
- maintaining appropriate communication and coordination with the PERSGA and National Steering Committee about each activity at each committee meeting or other meetings; and,
- Ensuring that a culture of solution orientation and best practice is being fostered by NPC -- as well as documented and disseminated at each Steering Committee meeting -- to assist the NGO community in their medium- and long-term planning to reduce the damaging effects of coastal and marine environmental problems.

### **B. Country Level Reports**

#### **1. Quarterly Grants Disbursement Table Report**

The NPC is to maintain cumulative records, updating whenever a grant is awarded, including planning grants, the amount of each disbursement and to quarterly update the records and submit to PERSGA. This report is shown in Annex 5.

#### **2. Site Visit Report**

Every monitoring visit to a project site by NPC, PERSGA, UNDP, GEF, donors, etc. should be documented and a report prepared by the visiting official. Each visitor to a project should be requested to prepare a brief site visit report. The report should be provided to the NPC after the visit and should

contain details of objective of the visit, observations, recommendations and actions to be taken (or next steps). The Site Reports (Annex 7) can also be the basis of verification that grant funds are used for intended purposes. This report will be the basis of future monitoring follow-up visits and used later in the final evaluation of the project.

### **3. Final Report**

The Final Report (Annex 8) should be prepared by the National Programme Coordinator or his designee, and should include the *participatory evaluation* of the project and highlight the individual and collective voices of the project participants and other stakeholders. The report should describe:

- Whether the project objectives were met and if not, what were the principal obstacles and how they could have been avoided?
- Principal positive aspects and deficiencies of the projects?
- Benefits achieved during implementation?
- Assessment of project impact?
- Future plans (if any) to continue, expand or replicate project activities?
- Compare and assess planned expenditures against actual costs?
- Capture details of co-financing and non-CPP source contributions (cash or in-kind)

### **4. Lessons Learned Report (End of Project)**

The Lessons Learned Report (Annex 9) is based on Site Report/s, Final Report and Participatory Evaluation and may be prepared jointly with the grant recipient. The idea is to determine how to achieve a certain objective or how to improve project and CPP performance by exchanging knowledge and experience. It is important to describe what works, what does not work and why. With such information, it is possible to improve future grant project implementation

This narrative report should address and explain *how and why* the project:

- effected the environmental problem with which it was dealing
- utilized the community to achieve project implementation and ownership and if this was critical to project success;
- utilized capacity-building to achieve project success;
- increased public awareness of local and regional environmental problems;
- addressed the gender issues;
- involved participation of local communities;
- is sustainable;
- generated co-financing and mobilized local resources, and to what extent;
- is replicable or expandable;
- had regional impact; and
- influenced government policy.

### **5. Semi-Annual CPP Progress Report**

The National Programme Coordinator is to report on technical and substantive project and programme progress on a semi-annual basis, with report due at headquarters on February 28 and 31 August. (See Annex 10.) The report should cover the following topics: project selection process, NSC meetings and activities; project monitoring and evaluation, including site visits and reporting; stakeholder workshops

and other CPP sponsored events, relations with UNDP and other agencies and donors; resource mobilization efforts and CPP visibility and communications activities.

## **6. Annual Programme Review Report**

This annual review report should be conducted by the National Programme Coordinator and Steering Committee along with stakeholders to analyze the achievements and shortfall of the country CPP and its project portfolio to understand why certain approaches and strategies work and why others work less well. It is important to propose ways of improving country CPP.

**pdfMachine**

**Is a pdf writer that produces quality PDF files with ease!**

Produce quality PDF files in seconds and preserve the integrity of your original documents. Compatible across nearly all Windows platforms, if you can print from a windows application you can use pdfMachine.

Get yours now!

## **X. References:**

1. Reports of field visit reports to Yemen, Sudan, Somaliland and Djibouti – August 2001.
2. SAP Project Implementation Plan – June 1999.
3. SAP Country Reports, PERSGA – February 2001.
4. UNDP/GEF-SGP Operational Guidelines, 2nd phase (18th Feb. 1999 –17th Feb. 2002).
5. UNDP/GEF-SGP Project Document (Second Operational Phase).
6. UNDP/GEF-SGP Resource Mobilization Strategy
7. UNDP/GEF-SGP Monitoring & Evaluation Framework
8. Second Independent Evaluation of GEF/SGP – Michel Wells and others (May 1998).
9. Operational Manual for the Monitoring, Evaluation and Proceeds Disbursement Section (Uganda), ACDI/VOCA.
10. UNDP/GEF-SGP Jordan- several documents.
11. UNDP/GEF-SGP Egypt Fact Sheet, 1992-2001.
12. Micro-Enterprise Credit Workshop – UNHCR – Hargeisa – Somalia (1994).
13. Law#1 of 2001 - Private Voluntary Organizations and Foundation – Ministry of Social Affairs and Labor – Yemen.
14. UNDP/GEF-SGP Documents for:
  - Monitoring and Evaluation Framework.
  - Resource Mobilization Strategy.
  - Communication Strategy.
15. ACDI/VOCA Grant Guidelines– West Bank & Gaza
16. ACDI/VOCA – Reporting Guidelines – West Bank & Gaza
17. ACDI/VOCA – Terms of Reference of Advisory Committee – WBG
18. ACDI/VOCA - Grants Operational Manual. – Uganda
19. ACDI/VOCA – Grant Proposal Guidelines – Rural Feeder Roads - Uganda
20. NGO Support Center Micro-Grants Request for Application – Egypt