

Mangroves for the Future Guidelines for Grant Facilities

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List of Acronyms and Abbreviations

ARO	Asia Regional Office (of IUCN)
CBO	Community-based organization
IUCN	International Union for Conservation of Nature
MC	Management Committee
MFF	Mangroves for the Future
MGF	Medium Grant Facility
MLE	Monitoring, Learning, and Evaluation
NCB	National Coordinating Body
NGO	Non-government organization
NSAP	National Strategy and Action Plan
PCM	Project Cycle Management
RGF	Regional Grant Facility
RSC	Regional Steering Committee
SGF	Small Grant Facility
SGF-PS	Small Grant Facility-Private Sector
TOR	Terms of Reference (or, job description)
UNDP	United Nations Development Programme
USD	United States Dollar

Mangroves for the Future (MFF)

Guidelines for the MFF Grant Facilities¹

Section 1 - Introduction

Mangroves for the Future Initiative (MFF) introduced the Grant Facilities in 2007 as the main vehicle to deliver on-the-ground results for the well-being of coastal ecosystems and coastal resource-dependent communities. By decision of the MFF Regional Steering Committee, from 2015 projects supported by the MFF Grant Facilities are expected to address one or more of the MFF Phase 3 output objectives and the nine strategic focus areas and the relevant cross cutting issues (Annex 1) defined within the context of the MFF National Strategy and Action Plans (NSAP). In order to achieve a strategic delivery of the MFF Grant Facilities the projects are expected to address well-defined problems identified by comprehensive site assessments in line with the MFF Resilience Framework, and they should be founded on well-constructed logical frameworks with clear objectives and outcomes/impacts to enable potential changes brought about by the projects to be reported on clearly.

There are four types of MFF Grant Facilities, as follows:

1.1. Small Grant Facility (SGF): The main aim of the SGF is to finance small projects to support strategic and tailor-made local community action for management of coastal ecosystems and their use on a sustainable basis. Small Grants are meant to support local NGOs, which are often best positioned to work with local communities and which have a good understanding of local ecological and social-institutional conditions.

SGF implementation follows a strategic approach by targeting well-defined geographic and thematic areas prioritised by the MFF National Coordinating Body (NCB) with the long-term aim of developing the resilience of ecosystem-dependent coastal communities. As an overarching principle, small projects shall respond to identified needs or issues and shall remain grounded and linked with the realities and needs of local communities.

In addition to providing direct environmental and livelihood benefits at a local level, SGF projects are expected to also offer tangible 'models' to inspire policy-making and they should include concrete measures to ensure a participatory approach, promote gender equality and secure livelihoods for marginalized groups. In this way, SGF projects will help in linking the household and community level to the dynamics of policy and decision-making about coastal area planning and investment.

1.2. Small Grant Facility for Private Sector Engagement (SGF-PS): The SGF-PS was instituted by the RSC-11 to be effective from January 2015 as a catalyst for private sector engagement with MFF as outlined in the MFF private sector engagement strategy.

The fund is intended to be an incentive for the countries to engage more with private sector and

¹Revision approved by the MFF Management Committee (MC-3) July 27, 2015.

to attract co-funding from the private sector. Under the SGF-PS, MFF will match cash funding from the private sector 1:1 up to a maximum of USD 25,000 (the limit of MFF contribution to projects under the SGF).

The SGF-PS is a separate fund that will not affect the SGF country allotments and it cannot be combined with any of the other MFF Grant Facilities.

The SGF-PS does not need to follow the normal granting process and may be driven either by MFF approaching companies proactively or vice versa, but investment must be in line with NSAP priorities and must involve a community partner.

The SGF-PS must address the MFF objectives and focus areas with the long-term view to develop the resilience of ecosystem-dependent coastal communities. Further, the projects under this facility shall be problem-oriented and shall remain grounded and linked with the realities and needs of local communities.

1.3. Medium Grant Facility (MGF): The MGF was introduced in 2010 and is intended to build on and/ or to expand successful small grant projects. The MGF is expected to reflect the multi-sectoral and partnership-based characteristics of MFF and within each project to address two or more of the MFF Focus Areas in an effort to examine more complex and often multi-disciplinary issues affecting coastal zone management as prioritized by the NCB.

It is the intention that the MGF should contribute significantly to strengthening the resilience of ecosystem dependent coastal communities by addressing specific resilience parameters identified through comprehensive site assessments guided by the MFF Resilience Framework. The physical features of the coastal location would normally be larger than those addressed by the SGF and should be large enough to be important at the ecosystem level, containing significant coastal habitats and resources and/or biodiversity.

1.4. Regional Grant Facility (RGF): The RGF was introduced in 2010 as a mechanism to address trans-boundary coastal zone management issues spanning over two or more countries to consolidate existing knowledge, especially relevant to coastal resources management and to conduct research on emerging issues to acquire new knowledge.

Where relevant, projects supported by the MFF Grant Facilities are expected to address the four MFF cross-cutting themes: Climate Change, Gender, Conflict Sensitivity and Property Rights and Resource Tenure. Grants will be provided to projects located where comprehensive site assessments in line with the MFF Resilience Framework have been carried out. In particular, proposals that take into account the relevant cross cutting issues, should be given preference.

Climate Change: Where relevant the projects must include a strategy to identify and address the likely impacts of climate change and climate variability including climate-related problems already encountered or likely to be encountered at the local level (defined by the project system boundary) and the likely climate-driven impacts on the system.

Gender: Where relevant, the project design should incorporate gender considerations. Special attention should be paid to differences between men and women with respect to: access to and use of resources (including but not limited to, generation and use of income); observed practices and patterns of participation in decision making; social beliefs and perceptions; laws, policies, and institutions that may affect men and women's participation in the project.

Conflict Sensitivity: As part of the people-centred approaches of enhancing resilience and governance, supporting sustainability, and wide multi-stakeholder involvement, in Phase 3 MFF will take a more conscious approach to mitigate possible risks that its programmes and activities could unintentionally exacerbate disputes or conflicts, and will also take opportunities to contribute to participatory management and peaceful dispute settlement in relation to scarce, or contested, coastal resources.

Property rights and resource tenure: Without access to land, fisheries, water, mangrove and other coastal forests, and coastal space, the coastal communities that are the target of MFF investment have no means to access the benefits of these investments. Property rights and resource tenure thus become key institutional “filters” through which the management and spread of benefits from MFF projects become more or less sustainable and equitable

In line with the MFF Knowledge Management and Communication Strategy all projects supported by the MFF Grant Facilities must define a strategy for collating and sharing information and new knowledge obtained from the projects. The strategy must identify the *target audiences and key messages* as well as the *media* which will best assist in achieving the communication objectives.

It is a key consideration that information generated from the projects from the MFF Grant Facilities is freely available for dissemination. Therefore, it is a condition for support that MFF has full access to all information (written material, sound and video recordings, including films, maps, photography, and any other materials in any other medium) generated by the project.

Section 2 - Guidelines for Small Grant Facility (SGF) Projects

2.1 Eligibility Criteria for SGF Projects

- 2.1.1 The maximum contribution from MFF to small projects shall be USD 25,000. However, the NCBs may decide to have a reduced upper limit depending on the country context.
- 2.1.2 Ideally, SGF projects should be of about 12 months' duration. However, this may be extended up to 18 months at the discretion of the NCB and in consultation with the MFF Secretariat.
- 2.1.3 Based on MFF's Guiding Principle that all MFF projects and other activities must be partnership-based, all projects should have two or more partners and preferably the partnership should involve partners from different sectors of society: e.g. an NGO or CBO with a government department, university, research institute or private company. The roles and responsibilities of each partner should be explained clearly in the proposal.
- 2.1.4 Development of the project proposal should be done in partnership with the local community. The proposal must show that the project (a) will not adversely affect the positions of the various stakeholders, (b) seeks to harmonize with the needs, views, expertise and experience of local stakeholders and associate them with the management and (c) is based, whenever possible, on a participatory approach.
- 2.1.5 Where relevant, the proposals must explicitly integrate the four MFF cross-cutting themes of Climate Change, Gender, Conflict Sensitivity, and Property Rights and Resource Tenure.

2.2 Eligibility of Applicants

Proposals can be submitted by national/local NGOs, CBOs, academic and research institutes, small scale businesses, management boards and enterprises which meet the following criteria²:

- 2.2.1 Have been registered with an appropriate national authority for a minimum of two years;
- 2.2.2 Have demonstrated a proven, or otherwise strong potential capacity to implement participatory and community-based projects in one or more relevant fields including: community development, coastal rehabilitation, conservation/ sustainable use/management of natural resources;
- 2.2.3 Have scientific or professional credibility, as recognised by the peer review process;
- 2.2.4 Can demonstrate capacity and experience in project management and financial administration;

²Although Ministries and Government Departments are ineligible for direct financial support, the Eligible Applicants listed above (i.e. NGOs, CBOs, academic and research institutes, small scale businesses, management boards and enterprises) are encouraged, to partner with Ministries and Government Departments, wherever appropriate.

- 2.2.5 A proponent who has been a recipient of a previous grant can be awarded another grant only after successful completion of the previous project, evidenced by approved final technical and financial reports;
- 2.2.6 Proposals from academic and research institutes must demonstrate the applied nature of the research proposed and clearly indicate how the local communities are involved.
- 2.2.7 The proponents must successfully complete a Due Diligence check undertaken by the National MFF Secretariat.
- 2.2.8 The proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 5% of the total MFF contribution to the project.

Limitations on Eligibility

The SGF will NOT grant financial support to:

- Private companies except small-scale community businesses
- Governmental Ministries and Departments²
- Consultancy firms
- Pure scientific research
- Purchase of land
- Travelling expenses for participation in conferences and courses, unless they are organized within the MFF region and it can be justified as a vital and integral contribution to the activities of the project and/ or to prioritized regional knowledge sharing
- Hiring expatriate consultants
- Purchase of equipment such as computers, vehicles, motor bicycles, boats, office furniture, unless they can be justified as vital and crucial tools for implementation of the project activities
- Proponents who have defaulted previously in grant management, or who did not fulfil their contractual obligations, or who had their contracts cancelled

2.3 Operation of the Small Grants Facility

2.3.1 Call for Applications

Maximum publicity should be given to the call for applications; this would require advertising in local newspapers and on websites, circulation amongst established networks, display at public sites etc. The National Coordinator shall seek prior permission from the MFF Secretariat for any exemptions.

2.3.2 Submission of Applications

Interested agencies should submit a Concept Note in the prescribed format (Annex 2). Concept Notes may be written in a local language.

2.3.3 Administration, Oversight and Execution

The selected proponent will have to enter into an agreement with the executing agency in the country (either UNDP Country Office or IUCN Country Office). Project implementation will be managed by the National MFF Secretariat under the guidance of the NCB.

2.3.4 Design and Planning the Project

The proposal must be aligned to the priorities identified by the NCB, and should be presented as a Concept Note following the prescribed format. Short-listing of Concept Notes will be decided by the NCB. However, the NCB may delegate a preliminary screening of the Concept Notes to a Working Group of NCB members from both Government and Civil Society. This Working Group may have co-opted experts as necessary and its recommendations shall be approved by the NCB.

The short-listed proponents will be required to undertake training in Project Cycle Management (PCM) organized by MFF to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the MFF standards and requirements. Upon completion of this training, the proponents will be required to submit a full proposal, based on a format provided (Annex 3).

2.3.5 SGF Project Approval Process

Due Diligence assessments are to be applied to all short-listed proponents, and the completed assessment to be submitted by the proponents together with the full proposal for consideration by the NCB. The full proposals shall be reviewed by the NCB, or by the NCB Working Group which will make its recommendations to the NCB. Final selection of proposals shall be made at a formal NCB meeting. The NCBs endorsement of the proposal including the Due Diligence assessment should be recorded in the approved NCB minutes.

2.3.6 Monitoring, Learning and Evaluation (MLE)

MLE missions will be undertaken by the NCB. Each project will be assessed at least twice during its life, and the Grantees are expected to cooperate with the MLE Team in providing access to the project sites and other information as requested. In addition, the NCB will arrange a mid-term evaluation of project implementation.

2.3.7 Reporting

The Grantee shall make periodic progress and financial reports as outlined in the Agreement. These will be used for project monitoring and as a basis for grant disbursement.

2.3.8 Audit

MFF may initiate an internal or external financial audit during or after the completion of project implementation.

Section 3 - Guidelines for Small Grant Facility for Private Sector Engagement (SGF-PS) Projects

The Small Grant Facility for Private Sector Engagement (SGF-PS) was established with the goal of catalysing private sector investment in projects that support resilience in coastal communities. This grant fund is managed at the regional level and provides additional funds to supplement the small grant allocations made available to NCBs. It has the long-term objective of helping to support the sustainability of the MFF initiative.

National Coordinating Bodies (NCBs) should regard the SGF-PS as one possible tool in the tool-kit to engage private sector. It is not the only tool, and many other possible engagement methods have been outlined in the MFF Regional Private Sector Engagement strategy.

3.1 General Guidelines:

- Under the SGF-PS MFF will match cash funding from private sector to small grant projects 1:1 up to a maximum of USD 25,000.
- The fund will accept applications on a first-come, first-served basis from countries until the fund is exhausted or replenished. In this period, only one grant application will be considered per country.
- Subsequent allocations to the SGF-PS as well as the project selection process will be decided by the RSC based on available funds and lessons learned.

3.2 Strategic Leveraging of PS funds:

NCB Members should ensure that they choose their corporate partners carefully and should always work to leverage more than the 1:1 match from private sector where possible. The focus should be on engaging with companies which can become change agents within key industry sectors identified as priority for MFF, and which have the potential to become long-term partners for MFF.

Preference will be given to:

- Applications which demonstrate effective leveraging of private sector investment, either through a larger contribution from the private sector company than from MFF; or where the relationship with the company has the potential to deliver further benefits, either through future investments or through opportunities to influence coastal businesses which have significant impact on ecosystems or communities.
- Applications which are clearly aligned with the objectives of the MFF Regional Private Sector Engagement strategy and with the country's National Strategy and Action Plan, Resilience Assessment Report (where completed) and National Private Sector Engagement Strategy. NB: Note that, while applications should demonstrate how they will contribute to the goals of these strategies, private sector engagements can operate outside the priority geographic areas outlined by the NCB.
- Applications which clearly demonstrate the strength of multi-sector partnerships and which provide clear benefits to local communities.
- Applications which clearly demonstrate the potential for replication and scaling up.

- Applications which demonstrate that the MFF cross-cutting themes of climate change adaptation and mitigation, gender, conflict sensitivity and resource tenure have been carefully considered during proposal development.

3.3 Eligibility Criteria for SGF-PS Projects

- 3.3.1 Ideally, SGF-PS projects should be of about 12 months' duration. However, this may be extended up to 18 months at the discretion of the NCB and in consultation with the MFF Secretariat.
- 3.3.2 Based on MFF's Guiding Principle that all MFF projects and other activities must be partnership-based, there should be at least one private sector partner and one civil society organization. The roles and responsibilities of each partner should be explained clearly in the proposal.
- 3.3.3 Development of the project proposal should be done in partnership with the local community, and should be submitted by the grantee (not the private sector entity). The proposal must show that the project (a) will not adversely affect the positions of the various stakeholders, (b) seeks to harmonize with the needs, views, expertise and experience of local stakeholders and associate them with the management and (c) is based, whenever possible, on a participatory approach.

3.4 Eligibility of Applicants

Proposals can be submitted by national/local NGOs, CBOs, academic and research institutes, small-scale community businesses, management boards and enterprises which meet the following criteria³:

- 3.4.1 Have been registered with an appropriate national authority for a minimum of two years;
- 3.4.2 Have demonstrated a proven, or otherwise strong potential capacity to implement participatory and community-based projects in one or more relevant fields including: community development, coastal rehabilitation, conservation/ sustainable use/management of natural resources;
- 3.4.3 Have scientific or professional credibility, as recognised by the peer review process;
- 3.4.4 Can demonstrate capacity and experience in project management and financial administration;
- 3.4.5 A proponent which has been a recipient of a previous grant can be awarded another grant only after successful completion of the previous project, evidenced by approved final technical and financial reports;

³Although Ministries and Government Departments are ineligible for direct financial support, the Eligible Applicants listed above (i.e. NGOs, CBOs, academic and research institutes, small scale businesses, management boards and enterprises) are encouraged, to partner with Ministries and Government Departments, wherever appropriate.

- 3.4.6 Proposals from academic and research institutes must demonstrate the applied nature of the research proposed and clearly indicate how the local communities are involved;
- 3.4.7 The proponent and the co-funding private company must successfully complete Due Diligence checks undertaken by the National MFF Secretariat.

3.5 Limitations on Eligibility

The SGF-PS will NOT grant financial support to:

- Private companies except small-scale community businesses
- Corporate foundations which cannot clearly demonstrate their independence from a private sector company
- Governmental Ministries and Departments²
- Consultancy firms
- Pure scientific research
- Purchase of land
- Travel expenses for participation in conferences and courses, unless they are organized within the MFF region and it can be justified as a vital and integral contribution to the activities of the project and/ or to prioritized regional knowledge sharing
- Hiring expatriate consultants
- Purchase of equipment such as computers, vehicles, motor bicycles, boats, office furniture, unless they can be justified as critical tools for implementation of the project activities
- Proponents who have defaulted previously in grant management, or who did not fulfil their contractual obligations, or who had their contracts cancelled

3.6 Operation of the Small Grants Facility

3.6.1 Call for Applications

The SGF-PS does not need to follow the normal granting process and may be driven by MFF approaching companies proactively or vice versa. Eligible projects for the SGF-PS can either be identified from proposals submitted in response to 'Call for Applications' under the MFF SGF with specific site and thematic focuses defined by the preceding site assessments or they can be submitted independent of 'Calls for Proposals' in which case they do not need to adhere to national geographic priority areas.

3.6.2 SGF-PS Project Approval Process

Interested agencies should submit a Concept Note to the NCB in the prescribed format (Annex 4). Concept Notes must be in English language.

The initial Concept Note and due diligence assessment of the private sector partner will undergo an initial screening process by the Regional MFF Secretariat to determine whether the concept and the private sector partner are eligible under this Facility. Once it has been pre-approved at the regional level, the full proposal is prepared based on a format provided (Annex 5). This proposal is further reviewed by the NCB, or by an NCB Working Group that will make its recommendations to the NCB. Final endorsement of the proposal including the

due diligence assessment shall be made at a formal NCB meeting and recorded in the approved NCB minutes. The endorsed proposal shall be forwarded to the MFF Secretariat together with the due diligence assessment for final approval and before signing.

3.6.3 Due Diligence Processes and Transparency Requirements

All engagements with the private sector must follow the IUCN due diligence processes for private sector engagement. These guidelines mandate a due diligence process which supports an understanding of the risks and opportunities of engaging with the company in question. This due diligence process should be initiated at the time of initial discussions regarding concept development, and a completed due diligence should be submitted with the Concept Note to the MFF Regional Secretariat.

In keeping with the principles of MFF, the highest standards of transparency around any granting must be upheld. Where the corporate partner or civil society organization partner is related to a member of the NCB, this member should recuse themselves during any discussions or approval processes related to the project in question, and this should be noted in the NCB meeting minutes. Where the corporate partner has an interest in the small grant project being discussed (i.e. it has a direct relationship to their profitability, or to their need to meet regulatory requirements), this interest must be disclosed at the time of application.

3.6.4 Administration, Oversight and Execution

A contract will first be entered into between the private sector partner and the execution agency in the country (either IUCN Country Office or UNDP Country Office) which clearly establishes the parameters of the project, the company's role and the funding that is being committed. Cost recovery at 25% should be realized on the private sector contribution.

Once the contract with the private sector partner has been finalized the selected proponent will enter into an agreement with the execution agency in the country (either IUCN Country Office or UNDP Country Office). The National MFF Secretariat under the guidance of the NCB will manage project implementation.

3.6.5 Monitoring, Learning and Evaluation (MLE)

MLE missions will be regularly undertaken jointly by the NCB and MFF Secretariat. Each project will be assessed at least twice during its life, and the Grantees are expected to cooperate with the MLE team in providing access to the project sites and other information as requested. In addition, the NCB will arrange a mid-term evaluation of project implementation.

3.6.6 Reporting

The Grantee shall make periodic progress and financial reports as outlined in the Agreement. These will be used for project monitoring and as a basis for grant disbursement.

3.6.7 Audit

MFF may initiate an internal or external financial audit during or after the completion of project implementation.

Section 4 - Guidelines for Medium Grant Facility (MGF) Projects

4.1 Eligibility Criteria for MGF Projects

- 4.1.1 The MFF contribution to medium projects shall be larger than USD 25,000 and up to USD 100,000.
- 4.1.2 The maximum period for a medium project shall be 24 months.
- 4.1.3 Development of the project proposal should be done in partnership with the local community. The proposal must show that the project (a) will not adversely affect the positions of the various stakeholders; (b) seeks to harmonise with the needs, views, expertise and experience of local stakeholders and associate them with the management; and (c) is based, whenever possible, on a participatory approach.
- 4.1.4 The proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 10% of the total contribution from MFF to the project.
- 4.1.5 Where relevant, the proposals must explicitly integrate the MFF cross-cutting themes Climate Change, Gender, Conflict Sensitivity, and Property Rights and Resource Tenure.
- 4.1.6 In general, purchase of capital assets is not allowed, unless it can be justified as a vital and crucial tool for implementation of the project activities.

4.2 Organisational and Institutional Criteria

- 4.2.1 The MGF is open to all sectors (including Ministries and Government Departments).
- 4.2.2 Two or more partners should be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.
- 4.2.3 The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government where relevant).

4.3 Operation of the Medium Grants Facility

4.3.1 Call for Applications

The Call for Application should be advertised in the national newspaper(s) in addition to any other form of advertisement on websites, circulation amongst established networks, display in public sites etc. The National Coordinator should seek prior permission from the Secretariat for any exemptions.

4.3.2 Submission of Applications

Proponents should submit a Concept Note in English in the prescribed format (Annex 6).

4.3.3 Administration, Oversight and Execution

The selected proponents will have to enter into an agreement with IUCN ARO (representing the MFF Secretariat). The projects are managed by the MFF Regional Secretariat while implementation will be overseen by the National MFF Secretariat under the guidance of the NCB.

4.3.4 Design, Planning and Screening of Proposals

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented as a Concept Note following the prescribed format.

Short-listing of Concept Notes will be decided by the full NCB. However, the NCB may delegate a preliminary screening of the Concept Notes to a Working Group of NCB members from both Government and Civil Society. This Working Group may have co-opted experts as necessary. The recommendations of the Working Group shall be approved by the NCB.

The short-listed proponents will be required to undertake training in Project Cycle Management organized by MFF to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the MFF standards and requirements. Upon completion of this training, the proponents will be required to submit a full proposal, based on a format provided (Annex 7). The full proposal should include annexes with the written commitment from project partners.

The NCBs may arrange a peer review of the full proposal by a national expert, if it deems necessary.

4.3.5 MGF Project Approval Process

Concept notes shortlisted by the NCB will be shared with the MFF Secretariat for review and evaluation. Due Diligence Assessments are to be applied to all short-listed proponents, and the completed assessment to be submitted by the proponents together with the full proposal for consideration by the NCB. The full proposals shall be further shortlisted by the NCB and forwarded to the MFF Secretariat, which will arrange an external appraisal of the proposals. The recommendations of these appraisals shall be used for further improvement of the proposals, as required. When the revised proposals are endorsed by the NCB they shall be forwarded to the MFF Secretariat for final approval and contracting. The NCBs endorsement of proposal including the Due Diligence assessment should be recorded in the approved NCB minutes.

4.3.6 Monitoring, Learning and Evaluation (MLE)

MFF Secretariat shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of at least one NCB Member, and one MFF Secretariat representative. Additionally, MFF Secretariat may co-opt other national or international experts. In addition, NCB shall undertake MLE missions in between those led by the MFF Secretariat. The Grantee is expected to assist the MLE missions by providing access to the project sites and other information, as requested.

4.3.7 Reporting

The Grantee is expected to make periodic progress and financial reports as required in the Agreement. These will be used to inform the MLE missions and as a basis for grant disbursement.

4.3.8 Audit

MFF may initiate an internal or external financial audit during or after completion of project implementation.

Section 5 - Guidelines for Regional Grant Facility (RGF) Projects

5.1 Eligibility Criteria for RGF Projects

- 5.1.1 The maximum contribution from MFF to of Regional projects shall be USD 200,000.
- 5.1.2 The maximum period for a regional project shall be 24 months.
- 5.1.3 Based on the needs of MFF the RSC will identify areas of work or subjects, but there has to be a clear relevance to the MFF objectives and focus areas and the NSAPs of the participating countries.
- 5.1.4 Regional Projects must involve at least two MFF member countries and preferably more.
- 5.1.5 Proposals need the endorsement of the NCBs of the countries where the project is to be implemented.
- 5.1.6 The proponents should have sound financial and operational structures and be able to provide and enlist significant co-financing and other tangible commitments from its partners. The co-financing in the form of either cash or in-kind contributions shall be equivalent to at least 20% of the total MFF contribution to the project.
- 5.1.7 Where relevant, the proposals must explicitly integrate the four MFF cross-cutting themes Climate Change, Gender Conflict Sensitivity, and Property Rights and Resource Tenure. In particular, proposals for regional projects should have a clear knowledge dissemination strategy including mechanisms to take up the results and disseminate those in the multi-country context.

5.2 Eligibility of Applicants

Applications will be by invitation of the RSC to the Members of RSC and to other relevant regional organizations/institutions.

5.3 Operation of the Regional Grants Facility

5.3.1 Call for Applications

There is no Call for Application. RSC will invite its Members or other relevant organizations or institutions to submit a Concept Note on a theme/problem/study identified by the RSC. Alternatively, Members may present Concept Notes on subjects which are deemed important to the RSC for its consideration.

5.3.2 Submission of Applications

Proponents should submit the Concept Note in the prescribed format (Annex 8).

5.3.3 Administration, Oversight and Execution

The selected proponent will have to enter into an agreement with IUCN ARO (representing the MFF Secretariat). The RGF will be managed by the MFF Secretariat, guided by the Management Committee (MC), RSC and the respective National Coordinating Bodies.

In the participating countries, NCB will provide oversight during project implementation.

5.3.4 Design and Planning the Project

The proposal should be based on clear problem identification as proposed to the RSC following a comprehensive situation analysis, and should be presented as a Concept Note following the prescribed format. Concept Note will be evaluated by a Working Group appointed by the RSC.

Upon evaluation by the Working Group, the proponents will be required to submit the full proposal, based on a format provided (Annex 9). The full proposal should include annexes with the written commitment from project partners.

5.3.5 RGF Project Approval Process

The full proposals shall be appraised by independent experts appointed by the MFF Secretariat. The recommendations of these appraisals will be used for further improvement of the proposals, as required. Approval of proposals shall be made by the Management Committee or the RSC, depending on the timing of the submission, based on the recommendation of the Working Group. Due Diligence checks are to be applied to all short-listed proponents, and the completed DD assessment to be submitted by the proponents together with the proposal for consideration by the MC/RSC.

5.3.6 Monitoring, Learning and Evaluation (MLE)

MFF Secretariat shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of the relevant NCB Members, and one MFF Secretariat representative. Additionally, MFF Secretariat may co-opt other national or international experts.

5.3.7 Reporting

The Grantee shall make periodic progress and financial reports as required in the Agreement. These may be used for project monitoring and for grant disbursement.

5.3.8 Audit

MFF may initiate an internal or external financial audit during or after completion of project implementation.

Annexes to Guidelines



- Annex 1. MFF Objectives and Strategic Focus Areas
- Annex 2. Template for Concept Note for Small Grant Facility
- Annex 3. Template for Full Proposals for Small Grant Facility
- Annex 4. Template for Concept Note for Small Grant Facility for Private Sector engagement
- Annex 5. Template for Full Proposals for Small Grant Facility for Private Sector engagement
- Annex 6. Template for Concept Note for Medium Grant Facility
- Annex 7. Template for Full Proposals for Medium Grant Facility
- Annex 8. Template for Concept Note for Regional Grant Facility
- Annex 9. Template for Full Proposals for Regional Grant Facility
- Annex 10. Information on the Proponent Organization
- Annex 11. Principles of Logframe Thinking, Linking Objectives to Activities, and Results-based Budgeting

Annex 1: MFF Objectives and Strategic Focus Areas

Outcome Objective: *Resilience of ecosystem-dependent coastal communities strengthened*

Output Objective 1: *Knowledge generated, disseminated and applied for sustainable management of coastal ecosystems*

- 1.1. Strengthening information base
- 1.2. Enhancing access to and sharing of knowledge at national and regional levels
- 1.3. Promoting effective use of knowledge including best practices

Output Objective 2: *Key stakeholders empowered to engage in decision-making in support of sustainable management of coastal ecosystems*

- 2.1. Building awareness and capacity of civil society and private sector
- 2.2. Supporting multi-stakeholder fora
- 2.3. Promoting sustainable livelihoods

Output Objective 3: *Coastal governance enhanced to promote integrated and inclusive management*

- 3.1. Strengthening capacity of national and regional governance institutions for integrated coastal management
- 3.2. Engaging with key business sectors to promote sustainable business practices
- 3.3. Promoting co-management and similar participatory natural resource management mechanisms

Gender and Climate Change were introduced as cross cutting issues in Phase 2. *Property Rights and Resource Tenure* have been added together with *Conflict Sensitivity* in Phase 3.

Annex 2: Template for Concept Note Small Grant Facility

[May be prepared either in English or in a local language]

The Concept Note should be maximum two (2) pages (excluding the “Information on the Proponent Organization”) (Annex 10).

- 1 **Project title** Should reflect the work of the project.
- 2 **Name of the Organisation**
- 3 **Project idea (please provide short statements on the following questions)**
 - 3.1 What is the current situation, and the problem(s) to be addressed?
 - 3.2 What are the main causes for this problem? Which of these causes does the project address and what is the rationale behind this choice?
 - 3.3 Where did the idea for the project originate from?
 - 3.4 Are there other organisations working on the same problem in the project area?
 - 3.5 What would be the project’s Objective, Results (=Outputs) and deliverables
 - 3.6 Who will benefit from the project?
 - 3.7 What are the main changes expected by implementing the project which will benefit the status of the ecosystems and/or people dependent on the ecosystems?
- 4 **Where will the project be implemented?**
- 5 **Relevance to the MFF criteria and the priorities indicated in the Call for Application**
 - 5.1 How would the project relate to the MFF programmatic Focus Areas?
 - 5.2 How does the project address priority issues identified in the Call for Application (please refer to the Call for Application made by the national MFF Secretariat)?
 - 5.3 How would the project address the cross-cutting themes [Climate Change, Gender, Conflict Sensitivity, and Property Rights and Resource Tenure]? [see Section 1 of the Guidelines]

6 **Project duration (months)**

7 **Project Management**

7.1 Provide a brief statement on how the project will be managed.

7.2 List the partners involved in project implementation and their roles and responsibilities.

Partner	Roles and Responsibilities
(i)	
(ii)	

8 **Budget (local currency):**

Total Budget	Financing Plan		
	Request from MFF	Grantee Contribution	Other Contributions

Annex 3: Template for Full Proposals Small Grant Facility

[May be prepared either in English or in a local language]

A. Proposal Summary Sheet [1 page] (Should be attached with each proposal)

- 1 **Date of Proposal Submission**
- 2 **Project Title:**
- 3 **Project Site:** Exact location (village, province etc), District/State, Country
- 4 **Project Scale :** National/ regional
- 5 **Implementation agency (Name and Address):**
- 6 **Implementing Partners, if any:**
- 7 **Authorized representatives from Implementing Agency:** Name and designation of a key person from the proponent
- 8 **Project Objective:**
- 9 **Project start date:** DD/MM/YY
- 10 **Project duration:** In months, not exceeding 18 months
- 11 **Brief Project description** (with Deliverables):
- 12 **Total Project Cost (in local currency) and Financing Plan:**

Total Budget	Financing Plan		
	Request from MFF	Grantee Contribution	Other Contributions
100%	XX%	YY%	ZZ%

B. Full Proposal Template: The entire document should not exceed 15 pages.

1 **Project Summary:** a brief statement of the problem, Objective(s), Results, main Activities and the 'change' sought by the project

2 **Introduction**

2.1 **Rationale of the project:** Situation Analysis, Main problem(s) to be considered

2.2 **Context:** Geographical context; climate, altitude, main ecological and socio-economic characteristics; policy context: relationship to national policies; community context

2.3 **Description of project area:** Include map and coordinates of project areas

3 **Project Description**

3.1 **Project's Logical Framework:** Please provide a logical framework of the project (see Annex 11) which should reflect the following:

- Goal (long term vision) towards which the project will contribute;
- Objective(s) of the Project that will be achieved by the project;
- Results that will contribute to each Objective together with Indicators;
- Key activities that will help achieve the Results, including deliverables.

3.2 **A narrative of the Key Activities:** This section should provide the details of how activities will be carried out, and should include the methodologies. This description should follow the following format:

Key Activity	Description on how it will be done, with whom etc.
Result # 1:	
Activity 1.1	
Activity 1.2	
Result # 2	
Activity 2.1	
Activity 2.1	

3.3 **Benefits and Beneficiaries:** What are the expected benefits of the project, and who are the beneficiaries, and how many are they? (specify numbers); highlight any livelihood linkages, if any.

3.4 **Participation of local people and communities:** Participation of local stakeholders including women and specific disadvantaged group, if any, in the project planning and implementation.

3.5 **Cross-cutting themes:** Describe how would the project address the four cross-cutting themes [see Section 1 of the Guidelines].

- 3.6 **Project risks, if any, and mitigation plans:** Describe briefly the project's risks and how these are to be managed.
- 3.7 **Work-plan:** Please provide a time frame in a Gantt chart as below, for each activity; the project should start immediately after the contract is signed. If there is special seasonal requirement (for example monsoon) it should be clearly expressed here.

Activities	Month																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Activity 1.1																		
Activity 1.2																		
etc.																		

4 **Project Management:**

- 4.1 **Management:** How will the project be managed (institutional structure, other organizations involved)? If other organizations are involved, describe the responsibility of each partner and how they will work together to achieve the project objectives.
- 4.2 **Monitoring, Learning and Evaluation:** How and when will the internal monitoring and evaluation take place? What is the process for capturing the lessons from the project? What is the situation about the baseline of the Indicators? If the baseline is not available, what is proposed to generate the baseline?

5 **Continuation of project activities:** Exit strategy/ Phase-out mechanism and how project results will continue to be sustained after the funding ends.

6 **Budget:** Create a detailed Results/Activities-based budget based on the logframe (See Annex 6); this budget should also include co-financing, both cash and in-kind. The budget should contain all direct costs relating to activities; the management component should not exceed 10% of the total budget.

7 **Proponent Description:** In addition to the information provided in Annex 5, please provide the following information:

- 7.1 **Organisational background:** [Up to 150 words]
- 7.2 **Capacity of the proponent to undertake this work –** indicate briefly the roles and responsibilities of proponent's staff members, their qualifications and experiences for the tasks to be performed.
- 7.3 **Prior experience in the related projects:** Describe, in 100-150 words for each project, up to a maximum of three projects that have been completed most recently, the Outcomes/Impacts of the projects completed.

Annex 4: Template for Concept Note for Small Grant Facility for Private Sector engagement

[Must be prepared in English]

The Concept Note should be maximum two (2) pages (excluding the “Information on the Proponent Organization”) (Annex 10).

- 1 **Project title** Should reflect the work of the project.
- 2 **Name of the Organisation**
- 3 **Name of the co-funding private sector:**
- 4 **Project idea (please provide short statements on the following questions)**
 - 4.1 What is the current situation, and the problem(s) to be addressed?
 - 4.2 What are the main causes for this problem? Which of these causes does the project address and what is the rationale behind this choice?
 - 4.3 Where did the idea for the project originate from?
 - 4.4 Are there other organisations working on the same problem in the project area?
 - 4.5 What would be the project’s Objective, Results (=Outputs) and deliverables
 - 4.6 Who will benefit from the project?
 - 4.7 What are the main changes expected by implementing the project which will benefit the status of the ecosystems and/or people dependent on the ecosystems?
- 5 **Where will the project be implemented?**
- 6 **Relevance to the MFF criteria and the priorities indicated in the Call for Application**
 - 6.1 How would the project relate to the MFF objectives and one or more of the nine focus areas defined in the MFF Phase 3 Project Document?
 - 6.2 How does the project address priority issues identified in the Call for Application (please refer to the Call for Application made by the national MFF Secretariat)?

- 6.3 How would the project address the cross-cutting themes [Climate Change, Gender, Conflict Sensitivity, and Property Rights and Resource Tenure]? [see Section 1 of the Guidelines]

7 Project duration (months)

8 Project Management

- 8.1 Provide a brief statement on how the project will be managed.

- 8.2 List the Partners involved in project implementation and their roles and responsibilities.

Partner	Roles and Responsibilities
(i)	
(ii)	

9 Budget (local currency):

Total Budget	Financing Plan			
	Request from MFF	Co-funding from private company	Contribution from grantee	Other Contributions

Annex 5: Template for Full Proposals for Small Grant Facility for Private Sector engagement

A. Proposal Summary Sheet [1 page] (Should be attached with each proposal)

- 1 **Date of Proposal Submission**
- 2 **Project Title:**
- 3 **Project Site:** Exact location (village, province etc), District/State, Country
- 4 **Project Scale:** National/ regional
- 5 **Implementation agency (Name and Address):**
- 6 **Co-funding private sector:**
- 7 **Implementing Partners, if any:**
- 8 **Authorized representatives from Implementing Agency:** Name and designation of a key person from the proponent
- 9 **Project Objective:**
- 10 **Project start date:** DD/MM/YY
- 11 **Project duration:** In months, not exceeding 18 months
- 12 **Brief Project description** (with Deliverables):
- 13 **Total Project Cost (in local currency) and Financing Plan:**

Total Budget	Financing Plan			
	Request from MFF	Co-funding from private company	Contribution from grantee	Other Contributions

B. Full Proposal Template: The entire document should not exceed 15 pages.

1 **Project Summary:** a brief statement of the problem, Objective(s), Results, main Activities and the 'change' sought by the project

2 **Introduction**

2.1 **Rationale of the project:** Situation Analysis, Main problem(s) to be considered

2.2 **Context:** Geographical context; climate, altitude, main ecological and socio-economic characteristics; policy context: relationship to national policies; community context

2.3 **Description of project area:** Include map and coordinates of project areas

3 **Project Description**

3.1 **Project's Logical Framework:** Please provide a logical framework of the project (see Annex 6) which should reflect the following:

- Goal (long term vision) towards which the project will contribute;
- Objective(s) of the Project that will be achieved by the project;
- Results that will contribute to each Objective together with Indicators;
- Key activities that will help achieve the Results, including deliverables.

3.2 **A narrative of the Key Activities:** This section should provide the details of how activities will be carried out, and should include the methodologies. This description should follow the following format:

Key Activity	Description on how it will be done, with whom etc.
Result # 1:	
Activity 1.1	
Activity 1.2	
Result # 2	
Activity 2.1	
Activity 2.1	

3.3 **Benefits and Beneficiaries:** What are the expected benefits of the project, and who are the beneficiaries, and how many are they? (specify numbers); highlight any livelihood linkages, if any.

3.4 **Participation of local people and communities:** Participation of local stakeholders including women and specific disadvantaged group, if any, in the project planning and implementation.

3.5 **Cross-cutting themes:** Describe how would the project address the cross-cutting themes [see Section A of the Guidelines].

- 3.6 **Project's risks, if any, and mitigation plans:** Describe briefly the project's risks and how these are to be managed.
- 3.7 **Work-plan:** Please provide a time frame in a Gantt chart as below, for each activity; the project should start immediately after the contract is signed. If there is special seasonal requirement (for example monsoon) it should be clearly expressed here.

Activities	Month																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Activity 1.1																		
Activity 1.2																		
etc.																		

4 **Project Management:**

- 4.1 **Management:** How will the project be managed (institutional structure, other organizations involved)? If other organizations are involved, describe the responsibility of each partner and how they will work together to achieve the project objectives.
- 4.2 **Monitoring, Learning and Evaluation:** How and when will the internal monitoring and evaluation take place? What is the process for capturing the lessons from the project? What is the situation about the baseline of the Indicators? If the baseline is not available, what is proposed to generate the baseline?

5 **Continuation of project activities:** Exit strategy/ Phase-out mechanism and how project results will continue to be sustained after the funding ends.

6 **Budget:** Create a detailed Results/Activities-based budget based on the logframe (See Annex 11); this budget should also include co-financing, both cash and in-kind. The budget should contain all direct costs relating to activities; the management component should not exceed 10% of the total budget.

7 **Proponent Description:** In addition to the information provided in Annex 10, please provide the following information:

- 7.1. **Organisational background:** [Up to 150 words]
- 7.2. **Capacity of the proponent to undertake this work** – indicate briefly the roles and responsibilities of proponent's staff members, their qualifications and experiences for the tasks to be performed.
- 7.3. **Prior experience in the related projects:** Describe, in 100-150 words for each project, up to a maximum of three projects that have been completed most recently, the Outcomes/Impacts of the projects completed.

Annex 6: Template for Concept Note - Medium Grant Facility

[Should be prepared in English]

The Concept Note should be a maximum of six (6) pages (excluding the “Information on the Proponent Organization”) (Annex 10).

- 1 **Date of Proposal Submission**
- 2 **Project Title:** Should reflect the work of the project.
- 3 **Project Site:** As specific as possible, attach a general map, as applicable.
- 4 **Project Scale :** National/ regional
- 5 **Implementation agency:** Name and Address of the Organization
- 6 **Implementing partners :** with a brief description of their roles and responsibilities
- 7 **Authorized representatives from Implementing Agency:** Name and designation of a key person from the Organization.
- 8 **Project start date:** DD/MM/YY
- 9 **Project duration:** In months, not exceeding 24 months
- 10 **Brief Project description**(as elaborated below):
 - 10.1 **Rationale of the project:** A detailed Situation Analysis, problem identification, justification of why the project is necessary and interventions to be considered to address the problem(s).
 - 10.2 **Context of the project:** brief description of ecology, community, policies and climate change concerns, if any. How is the project related to MFF programmatic Focus Areas and MFF Country priorities?
 - 10.3 **Project description:** Please provide the project’s logical framework (see Annex 11) which should reflect the following:
 - Goal (long term vision) towards which the project will contribute;
 - Objective(s) of the Project that will be achieved by the project;
 - Results that will contribute to each Objective together with Indicators;
 - Key activities that will help achieve the Results, including deliverables.

Please provide a brief narrative on how the activities will be implemented. Does the project build on a previous project? If so describe the Outcomes of the previous project and justify the need for the proposed project and how it will strengthen the situation.

10.4 **Project Beneficiaries, Outcomes and Impacts:** Who are the beneficiaries (identify who and specify numbers) or what are the improvements to the ecosystem? What are the 'changes' sought out by the Project? Briefly outline the **Outcomes** (*benefits to the stakeholders/participants*) and **Impacts** (*when the benefits to the stakeholders/participants are achieved, what changes in organizations, communities or coastal ecosystems might be expected to occur*).

10.5 **Cross-cutting themes:** Describe how would the project address the cross cutting themes [see Section 1 of the Guidelines]

10.6 **Project sustainability:** The exit strategy - how will the project's Outcomes be sustained after this funding ceases?

10.7 **Project Risks and Assumptions:** Describe potential barriers to the implementation of projects and how they will be overcome.

11 **Project Budget:** Please provide a framework budget (in local currency) and financing plan in the following format:

Item	Amount
(a) Activities	
(b) Personnel	
(c) Travel	
TOTAL	

Financing Plan:

Total Budget	Financing Plan		
	Request from MFF	Grantee Contribution	Other Contributions
100%	XX%	YY%	ZZ%

Annex 7: Template for Full Proposals Medium Grant Facility

[Should be prepared in English]

A. Proposal summary sheet [1 page] (Should be attached with each proposal)

- 1 **Date of Proposal Submission**
- 2 **Project Title:**
- 3 **Project Site:** Exact location (village, province etc), District/State, Country
- 4 **Project Scale :** National/ regional
- 5 **Implementation agency (Name and Address)**
- 6 **Implementing Partners**
- 7 **Authorized representatives from Implementing Agency:** Name and designation of a key person from proponent
- 8 **Project Objective:**
- 9 **Project start date:** DD/MM/YY
- 10 **Project duration:** In months, not exceeding 24 months
- 11 **Brief Project description** (with Results and Deliverables):
- 12 **Total Project Cost (in local currency) and Financing Plan:**

Total Budget	Financing Plan		
	Request from MFF	Grantee Contribution	Other Contributions
100%	XX%	YY%	ZZ%

B. Full proposal template

1 INTRODUCTION

- 1.1 Background
- 1.2 Project context, detailed Situation Analysis, Problem Identification and Justification for the Project
- 1.3 Related projects/other relevant activities
- 1.4 Preparatory activities already undertaken to identify the project
- 1.5 The Project's relevance to MFF and national MFF priorities

2 PROJECT DESCRIPTION

- 2.1 Statement on the Goal, Project Objective(s) and Results, and describe how the Results contribute to MFF programmatic Focus Areas and other MFF national priorities; the logframe should be furnished as an Annex to the proposal.
- 2.2 Project Beneficiaries: Who are the beneficiaries (identify who and specify numbers) or what are the improvements to the ecosystem?
- 2.3 A narrative on activities to support the Results, Outcomes and Impacts: What are the 'changes' sought out by the Project? Briefly outline the Outcomes (*benefits to the stakeholders/participants*) and Impacts (*when the benefits to the stakeholders/participants are achieved, what changes in organizations, communities or coastal ecosystems might be expected to occur*).
- 2.4 Strategies to address cross-cutting themes (see Section 1)
- 2.5 Inputs required (physical resources, manpower, financial summary)

3 ASSUMPTIONS and RISKS

- 3.1 Commitment of Stakeholders
- 3.2 Institutional support
- 3.3 Accountability
- 3.4 Sustainability and Replicability: What is the exit strategy - how will the project's Outcomes be sustained after this funding ceases?

4 PROJECT MANAGEMENT and ORGANISATION

4.1 National Level

4.2 Local level(s)

4.3 Procedures for Implementation: In addition to the description of procedures, please also include a narrative on the following:

4.3.1 Implementing partners, including the lead implementing agency; the roles and responsibilities of Partners. The working and communication arrangements between the partners should also be explained clearly.

4.3.2 The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government if relevant).

4.4 Financial Management and Procurement

5 MONITORING, LEARNING & EVALUATION

5.1 Internal Monitoring and Evaluation System and frequency of monitoring;

5.2 A description of the baseline information available, as basis for monitoring

5.3 Capturing learning and dissemination of project's results and outcomes

6 ANNEXES (as appropriate)

- Logical Framework
- Site description (with maps, photos where relevant)
- Detailed Budget and disbursement plan
- Project organization chart
- TOR/Job Descriptions for project implementing personnel

Annex 8: Template for Concept Note - Regional Grant Facility



[Should be prepared in English]

The Concept Note should be a maximum of six (6) pages (excluding the “Information on the Proponent Organization”) (Annex 10).

- 1 **Date of Proposal Submission**
- 2 **Project Title:** Should reflect the work of the project.
- 3 **Project Site:** As specific as possible, attach a general map, as applicable.
- 4 **Project Scale :** National/ regional
- 5 **Implementation agency:** Name and Address of the Organization
- 6 **Implementing partners :** with a brief description of their roles and responsibilities
- 7 **Authorized representatives from Implementing Agency:** Name and designation of a key person from the Organization.
- 8 **Project start date:** DD/MM/YY
- 9 **Project duration:** In months, not exceeding 24 months
- 10 **Brief Project description**(as elaborated below):
 - 10.8 **Rationale of the project:** A detailed Situation Analysis, problem identification, justification of why the project is necessary and interventions to be considered to address the problem(s).
 - 10.9 **Context of the project:** brief description of ecology, community, policies and climate change concerns, if any. How is the project related to MFF Programmes of Work and MFF Country priorities?
 - 10.10 **Project description:** Please provide the project’s logical framework (see Annex 6) which should reflect the following:
 - Goal (long term vision) towards which the project will contribute;
 - Objective(s) of the Project that will be achieved by the project;
 - Results that will contribute to each Objective together with Indicators;
 - Key activities that will help achieve the Results, including deliverables.Please provide a brief narrative on how the activities will be implemented. Does the project build on a previous project? If so describe the Outcomes of the previous project and justify the need for the proposed project and how it will strengthen the situation.

10.11 **Project Beneficiaries, Outcomes and Impacts:** Who are the beneficiaries (identify who and specify numbers) or what are the improvements to the ecosystem? What are the 'changes' sought out by the Project? Briefly outline the **Outcomes** (*benefits to the stakeholders/participants*) and **Impacts** (*when the benefits to the stakeholders/participants are achieved, what changes in organizations, communities or coastal ecosystems might be expected to occur*).

10.12 **Cross-cutting themes:** Describe how would the project address the [see Section A of the Guidelines]

10.13 **Project sustainability:** The exit strategy - how will the project's Outcomes be sustained after this funding ceases?

10.14 **Project Risks and Assumptions:** Describe potential barriers to the implementation of projects and how they will be overcome.

11 **Project Budget:** Please provide a framework budget (in local currency) and financing plan in the following format:

Item	Amount
(a) Activities	
(b) Personnel	
(c) Travel	
TOTAL	

Financing Plan:

Total Budget	Financing Plan		
	Request from MFF	Grantee Contribution	Other Contributions
100%	XX%	YY%	ZZ%

Annex 9: Template for Full Proposals Regional Grant Facility

[Should be prepared in English]

A. Proposal summary sheet [1 page] (Should be attached with each proposal)

- 1 **Date of Proposal Submission**
- 2 **Project Title:**
- 3 **Project Site:** Exact location (village, province etc), District/State, Country
- 4 **Project Scale :** National/ regional
- 5 **Implementation agency (Name and Address)**
- 6 **Implementing Partners**
- 7 **Authorized representatives from Implementing Agency:** Name and designation of a key person from proponent
- 8 **Project Objective:**
- 9 **Project start date:** DD/MM/YY
- 10 **Project duration:** In months, not exceeding 24 months
- 11 **Brief Project description** (with Results and Deliverables):
- 12 **Total Project Cost (in local currency) and Financing Plan:**

Total Budget	Financing Plan		
	Request from MFF	Grantee Contribution	Other Contributions
100%	XX%	YY%	ZZ%

B. Full proposal template

1 INTRODUCTION

- 1.1 Background
- 1.2 Project context; detailed Situation Analysis, Problem Identification and Justification for the Project
- 1.3 Related projects/other relevant activities
- 1.4 Preparatory activities already undertaken to identify the project
- 1.5 The Project's relevance to MFF and national MFF priorities

2 PROJECT DESCRIPTION

- 2.1 Statement on the Goal, Project Objective(s) and Results, and describe how the Results contribute to MFF Programmes of Work and other MFF national priorities; the logframe should be furnished as an Annex to the proposal.
- 2.2 Project Beneficiaries: Who are the beneficiaries (identify who and specify numbers) or what are the improvements to the ecosystem?
- 2.3 A narrative on activities to support the Results, Outcomes and Impacts: What are the 'changes' sought out by the Project? Briefly outline the Outcomes (benefits to the stakeholders/participants) and Impacts (when the benefits to the stakeholders/participants are achieved, what changes in organizations, communities or coastal ecosystems might be expected to occur).
- 2.4 Strategies to address cross-cutting themes
- 2.5 Inputs required (physical resources, manpower, financial summary)

3 ASSUMPTIONS and RISKS

- 3.1 Commitment of Stakeholders
- 3.2 Institutional support
- 3.3 Accountability
- 3.4 Sustainability and Replicability: What is the exit strategy - how will the project's Outcomes be sustained after this funding ceases?

4 **PROJECT MANAGEMENT and ORGANISATION**

4.1 National Level

4.2 Local level(s)

4.3 Procedures for Implementation: In addition to the description of procedures, please also include a narrative on the following:

4.3.1 Implementing partners, including the lead implementing agency; the roles and responsibilities of Partners. The working and communication arrangements between the partners should also be explained clearly.

4.3.2 The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government if relevant).

4.4 Financial Management and Procurement

5 **MONITORING, LEARNING & EVALUATION**

5.1 Internal Monitoring and Evaluation System and frequency of monitoring;

5.2 A description of the baseline information available, as basis for monitoring

5.3 Capturing learning and dissemination of project's results and outcomes

6 **ANNEXES (as appropriate)**

- Logical Framework
- Site description (with maps, photos where relevant)
- Detailed Budget and disbursement plan
- Project organization chart
- TOR/Job Descriptions for project implementing personnel

Annex 10: Information on the Proponent Organization

NOTE: Please fill in this form and send it with the Concept Note

Project Title		
Name of the Organization		
Mailing Address		
Visiting Address (if different from above)		
Telephone	Fax	
Email	Website	
Mission and Goal of the Organization		
About the Organization	Registration date Category Contact person Number of staff	
Bank Account details	Account name Bank name Bank address Account No.: SWIFT or other routing code Signatories names	
References	Name, address and Tel no. (Referee 1) Name, address and Tel no. (Referee 2)	
Projects implemented during the last 5 years relevant to the theme of the current proposal		
Title of the Project	Donor/Amount	Reference (Name/tel/email)
1.		
2.		
3.		
4.		
5.		

Annex 11: Principles of Logframe Thinking, Linking Objectives to Activities, and Results-based Budgeting

Logical framework, or logframe, thinking starts out with a simple but extremely important principle: first, one decides where to go (the objective) and, secondly, how one will get there (the activity). Objectives are formulated which can be achieved by performing a set of activities. , But because activities are at a much lower level than Objectives, each activity normally contributes to a Result; one or more Results are needed to enable the Objective to be achieved.

Logframe thinking requires clear (or at least plausible) specifications of the intended effects of planned Results. Thus, the "hierarchy of objectives" is linked by a set of hypotheses indicating the intended impact, i.e., the utilization of *Results* and, ultimately, the accruing benefits. The linkages have to be "tight", i.e., chances to reach higher level objectives must be good. Realism and consistency refer to scientifically sound hypotheses and to available resources. By linking resources, r, and long-term effect (=impact) in a realistic and consistent manner, logframes create a high degree of transparency and thus they provide a sound basis for efficient management, meaningful evaluation, and enhanced credibility.

The logframe process also includes a reflection on important external factors which are crucial for the success of a given project. "*Assumptions*" are hypotheses about factors which are outside the managerial control of a project, centre, or the system as a whole.

The "logframe matrix" which summarizes all important planning decisions, assumptions, and resource allocations is a frame which has to be specified for operational purposes. It has, therefore, to be supplemented by detailed (operational) plans specifying activities, *milestones*, responsibilities, time schedules, resources, etc.

The terminology used world-wide in logframes is chaotic. It is therefore necessary to understand the hierarchy, rather than being confused with different terms used by different agencies. In this we use the term **GOAL**⁴ to denote long term achievements which are not expected out of this project, but it will contribute towards it. Goal is followed by **OBJECTIVES**⁵ which should be achieved by the Project. A set of **RESULTS**⁶ enable one to achieve the Objectives, while each Result is achieved through a set of **ACTIVITIES**.

A sample logframe of a hypothetical project is provided below together with a budget linking Results/ Activities to expenditure, for guidance.

⁴ Other terms used for Goal are: Long Term Objective; Overall Objective; Strategic Objective; Development Objective

⁵ Other terms used for Objectives are: Immediate Objective; Project Purpose; Medium Term Result; Intermediate Result

⁶ Other terms used for Results are: Outputs; short term Result

SAMPLE LOGICAL FRAMEWORK MATRIX

Restoration of coastal mangroves in Abeecce Village, Beedee Province, [country]

Intervention Logic	Objectively Verifiable Indicators (OVIs)	Source of Verification (SoV)	Assumptions
Goal			
Peoples' lives and property are protected from storms and flooding	<ul style="list-style-type: none"> Deaths and economic losses from storm surges 	<ul style="list-style-type: none"> Village administration reports 	<ul style="list-style-type: none"> Mangroves are effective against storms and waves
Objectives			
1. A coastal protection zone of mangroves in Abeecce Village in Beedee Province is created	<ul style="list-style-type: none"> Extent of new mangrove planting (3 km) 	<ul style="list-style-type: none"> Village reports 	<ul style="list-style-type: none"> Village coastline is suitable for mangrove planting
	<ul style="list-style-type: none"> Trained guards undertake village protection 	<ul style="list-style-type: none"> Village reports 	<ul style="list-style-type: none"> Guards are willing
	<ul style="list-style-type: none"> Village Disaster Risk Reduction Plan contains Mangrove protection guidelines 	<ul style="list-style-type: none"> Village DRR plans 	<ul style="list-style-type: none"> Authorities willing to include mangrove protection in DRR
2. Project Management functioning well.	<ul style="list-style-type: none"> Establishment of a project team with the requisite competencies for work described earlier. Establishment of a system for regular consultation with the stakeholders; Day-to-day management of the Project, including reporting 	<ul style="list-style-type: none"> Project Team; Stakeholder consultation reports Project Office reports 	

Results/Key activities per Objectives

Results	Key Activities	Deliverables/Responsibility
Objective 1 - A coastal protection zone of mangroves in Abeecce Village in Beedee Province is created		
(a) A 3-km mangrove plantation along the coastline of the village	(i) Establishment of a mangrove nursery;	▪ Proper Mangrove nursery
	(ii) Collection of planting materials to raise 60,000 seedlings	▪ 60,000 seedlings
	(iii) Planting mangroves	▪ 3 km length planted
	(iv) Quarterly monitoring of planting (2 years)	▪ Seven (7) monitoring reports
	(v) Gap filling	▪ No. of plants used in gap filling
(b) Trained village guard team in mangrove protection	(i) Construction of two guard posts to accommodate mangrove guards and procurement of basic equipment	▪ Two Guard posts ▪ Basic equipment (torches, tools, water-proof clothing)
	(ii) Developing a training module for guards	▪ Training module
	(iii) Conducting two training course for guards (10 per team)	▪ Two training events
(c) Mangrove protection regulations integrated into the village Disaster Risk Reduction Plan	(i) Workshop to develop mangrove protection regulations	▪ Mangrove protection regulations
	(ii) Consultative meeting with relevant agencies to incorporate mangrove protection regulations in village Disaster Risk Reduction Plans	▪ Incorporating mangrove protection regulations into DRR
	(iii) Radio broadcasts to inform people about the importance of protecting mangroves and penalties for not following regulations	▪ Content of awareness broadcasts; ▪ Ten (10) broadcasts over a period of three months
Objective 2 - Project Management functioning well.		
(a) Project Team	(i) Appointment of a project team with the requisite competencies.	▪ Project cell
	(ii) Establishment of a system for regular consultation with the stakeholders;	▪ Meeting reports
(b) Project Management	(i) Day-to-day management of the Project, including reporting	▪ Reports

Restoration of coastal mangroves in Abeecce Village, Beedee Province, [country]

No.	Category & Item of Expenditure	Unit	Unit Price (USD)	Quantity	Cost	Sub Total	Remarks
Objective 1 - A coastal protection zone of mangroves in Abeecce Village in Beedee Province is created							
Result 1: A 3-km mangrove plantation along the coastline of the village							
Activity 1.1: Establishment of a mangrove nursery						1,250	
	Land preparation & maintenance	day	5	100	500		
	Fencing	lump			250		
	Construction of room	lump			500		
Activity 1.2; Raising seedlings						2,300	
	Planting materials	Unit	0.03	60000	1,800		
	Other materials	lump			250		
	Miscellaneous costs	lump			250		
Activity 1.3: Planting mangroves						2,500	
	Payment for planting	person day	5	500	2,500		
Activity 1.4: Quarterly monitoring of planting (2 years) & Gap Filling						786	
	Planting materials	Unit	0.03	1200	36		
	Monitoring by community	day	5	100	500		In kind from community
	Payment for planting	day	5	50	250		
Result 2: Trained village guard team in mangrove protection							
Activity 2.1: Construction of guard posts and providing basic equipment						1,050	
	Construction costs	Lump			750		In kind from Partner
	Basic equipment	Lump			300		
Activity 2.2: Developing a training module for guards						1,250	
	Technical advice	day	50	25	1,250		In kind from Partner
Activity 2.3: Training of Guards						550	
	Venue	day	25	2	50		
	Training materials	Lump			100		
	Refreshments	pax	5	20	100		
	Technical support	day	50	6	300		In kind from Partner

Result # 3: Mangrove protection regulations integrated into the village Disaster Risk Reduction Plan						
Activity 3.1: Workshop to develop mangrove protection regulations						400
	Venue	day	25	1	25	
	Refreshments	pax	5	25	125	
	Technical support	day	50	5	250	
Activity 3.2: Consultative meeting with agencies						200
	Meeting costs	Lump			100	
	Technical support	day	50	2	100	
Activity 3.3: Radio broadcasts						750
	Development of content	day	50	5	250	
	Broadcast costs	Unit	50	10	500	
Objective # 2 - Project Management functioning well.						
	Project Management					5,350
	Reporting	Year	250	2	500	
	Other costs	Year	250	2	500	
	Project Manager	Month	100	24	2,400	
	Mangrove Guard	Month	50	24	1,200	
	Miscellaneous labour	day	5	150	750	
	TOTAL					16,386
FINANCING PLAN (USD)						
In kind from Partner					2,650	
In kind from Community					500	
In kind from Grantee					2,400	
Mangroves for the Future Grant					10,836	
TOTAL					16,386	

In kind from Partner

In kind from Partner

In kind from Grantee

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