





THE GEF SMALL GRANTS PROGRAMME

PROPOSAL GUIDELINES (ver.02/14)

GENERAL REQUIREMENTS

The Project Proposal should include the standard cover sheet, a one-page table of contents and the proposal should not exceed 15 pages of text (including any charts or diagrams). The Proposal should be submitted in typed form, with concise and straight forward information (avoid too lengthy description or background information). Additional attachments may be submitted, including documents certifying the status of the organization, endorsements of the proposed project, co-funding commitments or other indicators of participation and support from other institutions, and bank account header, and other supporting information to the proposal.

Please ensure that the project proposal and all attachments are legible. All supporting documents (attachments) should also have the name of the project on them. Submit one original copy of the Proposal (soft and hard copy) to the *National Coordinator, GEF Small Grants Programme, Wisma UN, Block C, Kompleks Pejabat Damansara, Jalan Dungun, Damansara Heights, 50490 Kuala Lumpur.* Keep a copy of your proposal for your own records as the one you submit will not be returned.

PREPARING YOUR PROPOSAL

In preparing a Project Proposal, please follow the major points of the outline set forth below. Ensure that all bullet points included in the outline are addressed, as these cover the major issues which the National Steering Committee (NSC) will consider in reviewing the Proposal. Applicants are strongly advised to study the "SGP Country Programme Strategy (CPS) for ulitization of OP5 grant funds" document in order that objectives and activities can be aligned with the national priorities identified. The CPS document is made available on the website.

1. TABLE OF CONTENTS

The table of contents is already provided in the template. Proponent should only need to update the page number, as well as adding to the list of annexes all required and supporting documents.

2. COVER PAGE

The cover page provides an important summary of the project.

Project Details: Each project should have a clear and concise project title with the geographical coverage clearly indicated. It should indicate the duration of the project, a reasonable implementation timeframe for the project taking into account all the factors that could impact your project's output delivery

(project duration is generally between 18 to 24 months, however applicants are advised to specify "other" duration based on the nature of the project activities and amount of grant requested). In normal cases, the duration of project is proportionate to the size of grant requested.

Finances: Information on project finances specifying total requested support from the GEF and cofinancing available and/or expected. The co-financing can be in kind, cash or parallel in nature. While the amount in Ringgit Malaysia (RM) is required for budgeting purposes, the final approved amount will in US\$, and not RM. Hence, exchange rate used for conversion of US\$ into Ringgit Malaysia (RM) should be explicitly recorded.

Applicant: Applicants are to provide details of organization as well as personnel contacts. Please DO NOT provide PO BOX address under mailing address. Should there be any change of details, applicants are to inform the SGP secretariat.

Contact: Principal Officer is normally the person-in-charge of the organization, while Project Coordinator/manager will be the person-in-charge for the specific proposed project. The project coordinator will be the one communicating directly with the SGP secretariat on project related matters. As for matters related to signing of MOA, MOA amendments, request for project extension, the principal officer will be responsible for such matters.

Project: Applicants are also required to identify the GEF focal area the proposal is targeting, along with the types and characteristics of project being proposed.

3. PROPOSAL

The proposal includes the following main sections: Project Rationale and Approach (Section A), Project Risks, Monitoring & Evaluation (Section B) and Project Budget (Section C).

SECTION A: PROJECT RATIONALE AND APPROACH

This section provides the rationale and background of the project, as well as the proposed approach.

1.1 Project Summary

The Project Summary should describe the project context, including the key environmental problem to be addressed, and the proposed approach, including the **rationale/justification** for the project. This section should describe the **project location**, a profile of the project sites, as well as the target community (ies) involved. The relevance of the project to the GEF/SGP Country Programme Strategy should also be presented.

1.2 Organizational Background and Capacity, and Plan for Project Implementation

This section should demonstrate that the proposing organization has the experience, capacity, and commitment to successfully implement the proposed project, or, is prepared to work with SGP to build its capacity to undertake the project. As potential SGP grantees, information provided in this section will be considered by NSC to determine on the credibility and capability of the organization to undertake and complete the proposed project. Applicants are encouraged to submit additional documentation, which could include supportive materials like the legal status of the organization, endorsements of the proposed project, co-financing commitments, or evidences of any participation and support from other institutions, and notably also active community consultation and involvement in decision making on the proposed project's aims, objectives, activities, budgets and expected outputs. All supporting documents should be made annexes to the proposal submission.

The issues to be covered in this section include:

- Nature of the proposing organization is it an informal group of interested parties, civil society organisation (CSO), a community-based organization (CBO), national or sub-national NGO, social enterprises
- Purpose and core activities of the proposing organization/group.
- Organizational approach for project implementation, i.e. how does the organization or group intend to deliver the project?
- Length of existence and project management experience if any.
- Organizational structure, governance and administrative framework: provide the number of paid staff members if it is a well constituted organization (insert organizational chart if possible)
- If relevant, state membership and affiliation to associations or umbrella groupings
- Provide an indication of the legal status. If none, provide an elaboration of its nature of existence.
- Target population group (indicate relevant community groups, women, indigenous peoples, youth, etc.)
- If the organization has been in existence before, the proponents should explicitly describe previous experience relevant to the proposed project including, as relevant: projects addressing problems of biodiversity loss; climate change mitigation and/or climate-proofing; land degradation/sustainable forest management; pollution of international waters; chemicals management; OR experience with projects that focus on environment and natural resources management and sustainable development at community level.

Should there be a planned partnership with other institutions (CSOs, CBOs and others) in implementing the project's activities, please provide details including: i) with who and ii) what type of partnership will be formed. For example – is it to provide project management service; advisory, professional or technical inputs; undertake project activities on behalf of the applicant etc. This is important to determine that the proponent has the necessary capacity and knowledge to undertake successfully at least most of the planned activities.

1.3 Project Objectives and Expected Results

This section can be laid out in a matrix form and should contain a clear and specific statement of what the proposed project will accomplish. Preferably this should follow a logical framework. Among the issues to address include:

- The problem statement or challenge the project intends to address
- The primary objective and specific objectives of the proposed project
- The full description of the **rationale** (justification) for the project. The rationale should indicate the importance of the proposed project to the GEF Small Grants Programme in terms of contributing to its overall and or specific focal area objective(s). It should also reflect the relationship of the project to other relevant programmes such as local, district or national government programmes, other GEF and UNDP projects, multilateral and bilateral aid agency projects, and other community-based, CSO, and/or private sector activities. This will ensure that the intervention is not a standalone activity.
- The specific results or outcomes that the project will produce. The expected results are the measurable changes which will have occurred by the end of the project as a result of the planned intervention (e.g. land area under forest cover increasing because of tree planting and promotion of natural regeneration of vegetation etc).
- Please propose specific and **measurable indicators** which help capture the achievement of project results. These indicators will form the basis for monitoring and evaluation. These indicators should be aligned with the SGP Country Programme Strategy (CPS) and may be refined in consultation with the NC and or NSC. The indicator set for the project should draw upon the set of SGP project level indicators (see Annex 1), but can also be enriched by other project-specific and or national indicators that are appropriate for the project to track. Please identify at least one biophysical indicator pertaining to the relevant GEF focal area (or focal areas, if the project has a secondary focal area) and one indicator from each of the categories of 'capacity development, policy influence & innovation'; 'livelihoods & sustainable development, community based adaptation and empowerment' indicators provided (see Annex 1).

Example of Logical Framework (the same will be used for M&E)

(For illustration only)

Problem statement			
Rationale/ justification			
Project Objective	Project Activities	Expected Specific and Measurable Result/ Outcome	Measurable Indicator
1.0	1.1 Conduct workshops	Capacity of (x no. of) local communities enhanced	X number of workshops conducted and completed
	1.2 Develop awareness materials	(X no. of) brochures printed and distributed	Printed borchures, t- shirts, guidebooks
	1.3		
2.0	2.1		
	2.2		
	2.3		

1.4 Description of Project Activities

This section, to be included in a logical framework, should describe what will actually be done to produce the expected results and accomplish the project's objectives. There should be a clear and direct linkage between the activities and the expected results or outcomes. (The proponent must ensure that the activities are a means to achieving the results). **Note that weakness in this area may be a major reason for failure to receive funding.** Activity descriptions should be as specific as possible, identifying what will be done, who will do it, when it will be done (beginning, duration, completion), and where it will be done. In describing the activities, an indication should be made regarding the organizations and individuals involved in or benefiting from the activity.

Example of Detailed Description of Activities (the same will be used for M&E)

(For illustration only)

Project Objective	Project Activities	How long will it take?	Who will be responsible?	Where will this be carried out?	Who are the beneficiary?
1.0	1.1 Construction of micro hydro	3 days	Project coordinator	At site of micro hydro construction	Targeted community
	1.2				
	1.3				
2.0	2.1				
	2.2				
	2.3				

Provide elaboration of each line of activities as per objective provided in writing (detailing how the activities will be carried out, who will be involved, how will it impact on the project outcome, etc):

ω	jective	•

Act 1.1

Act 1.2

Objective 2

Act. 2.1

Act. 2.2 ...

1.5 Implementation Plan and Time Frame

This section should be presented in the form of a chart/table to be attached as an annex. It should indicate the **sequence of all major activities and implementation milestones**, including targeted beginning and ending dates for each step. Provide as much detail as possible at this stage. The Implementation Plan should show a logical flow of steps, indicating that all the things that must happen have been carefully thought through from the current to the end of project situation. Please include in the Implementation Plan the required reports, project reviews and evaluation activities.

Example of Workplan with Timeframe (the same will be used for M&E)

(For illustration only)

No.	Activity					Е	хре	cted	d Ac	tivit	ies to	o take	e plac	e in	Mont	hs			
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
1.1	Inception workshop	Х																	
1.2	Community survey																		
1.3	Awareness activities																		
2.1	Knowledge exchange																		
2.2	Develop publication																		
2.3	Workshops, stakeholder consultation meetings, or seminars						х							х					
3.0	M&E																		
4.0	Reporting																		

1.6 Plan to Ensure Community Participation 1

This is an integral part of SGP grants therefore the proposed project must clearly define the strategies and approaches that will be adopted to ensure active local community participation in the planned activities and project. Please describe how the stakeholder communities were involved in **Project planning and design** and will be involved in: i) **Project implementation** and ii) **Project monitoring and evaluation**. This information will serve a basis for assessing and understanding community participation and ownership.

1.7 Knowledge Management

Please describe how you plan to capture, share and disseminate the knowledge, lessons learned and good practices gained through the implementation of the project.

1.8 Gender Mainstreaming

¹ Note that community participation means much more than how the community will benefit from the project. It refers to active involvement and ownership by the relevant stakeholders. Describe the specific steps that have been taken/planned to maximize this involvement.

Please describe how the project takes into consideration the roles and needs of men and women (with a focus on the needs of women), and how this would be reflected in the results and benefits of the project.

1.9 Communication and Replication of Project Results

Please describe how you would communicate the goals, activities and results of the project with the community members, other community-based organizations and other key stakeholders. If the project requires awareness-raising at the local level, please describe the plan/activities you would use to achieve the target results and ensure replication of project results.

SECTION B: PROJECT RISKS, MONITORING & EVALUATION

This section should detail the risks, issues, assumptions, sustainability strategies and also describe the project work plan and monitoring during the implementation. It should provide a full description of the issues outlined below:

2.1 Risks to Successful Implementation

Please identify and list the **major risk factors** that could result in the project not producing the expected results. These should include both internal factors (for example, the technology involved fails to work as projected) and external factors (for example, significant currency fluctuations resulting into changes in the resources of the project). Please also propose risk mitigation measures to address the potential risks.

Please include in this section the **key assumptions** on which the project plan is based (for example, government and environmental policy remaining stable) which are anticipated in project planning, and on which the feasibility of the project depends.

Example of Risk Identification and Mitigation Measures (the same will be used for M&E)

(For illustration only)

Expected Specific and Measurable Result/ Outcome	Major Risk Factor	Risk Mitigation Measures
Conduct 3 workshops across Malaysia involving x no. of participants	Currency fluctuations reduces the actual level of funds available for conducting workshop	Funds are provided as US dollars and converted to MYR at a rate of approximately 1:3. Shortfall due to exchange rate fluctuations will be absorbed by co-financing, in particular in-kind support and XYZ funding.
Government adopting the National Tiger Action Plan	Political changes leading to less supportive government involvement	To counter this risk it is essential to sustain the engagement of DWNP through a combination of high level, public, and working level meetings in order to ensure maximum political commitment. In this context it is also important that a sense of continued ownership is established at both DWNP and local community levels.

2.2 Monitoring, Evaluation Plan and Indicators

This section should be laid out as per table below. It should contain an explanation of the steps and approach that will be taken by the proposed project to carry-out M&E to ensure the project is implemented according to the schedule and the outputs are delivered in a timely manner. Specify who will be responsible for M&E and provide quantifiable indicators to measure the expected outputs.

Example of M&E Framework (extracting information from section 1.3-1.5)

Objective No 1:				M&E Activities to take place in Months																
Activity	Responsi ble Party	Indicator	1	2	3	4	5	6	7	8	9	1 0	1	1 2	1	1 4	1 5	1 6	1 7	1 8
1.1																				
1.2																				
1.3																				
1.4																				
Objective No 2:							M	&E	Act	iviti	es t	o tal	ce p	ace	in N	/lont	hs			
Activity	Responsi ble Party	Indicator	1	2	3	4	5	6	7	8	9	1 0	1 1	1 2	1	1 4	1 5	1 6	1 7	1 8
2.1																				
2.2																				
2.3																				
2.4																				

Project monitoring schedule

The project should be monitored according to a planned schedule, in line with the milestones identified in the Implementation Plan and Time Frame (section 1.5 above).

Among the key issues to be addressed as part of M&E are:

- How will the performance of the project be tracked in terms of achievement of the steps and milestones set forth in the Implementation Plan;
- How will the impact of the project be assessed in terms of achieving the project's objective(s);
- How will the mid-course correction and adjustment of the project design and plans be facilitated on the basis of feedback received:
- How will the participation of community members in the project monitoring and evaluation processes be achieved.

2.2 Sustainability of Results Achieved

Sustainability is a critical aspect in all the GEF SGP funded projects. The proposal should outline the steps to be taken before, during, and at project completion to ensure that once all the SGP funds have been disbursed, the project impact will continue for many years thereafter.

The funds provided by SGP are primarily seed funds, designed to give the project a significant start. However, project proponents should envision the project three or even five years after SGP funds have been utilized, and consider the factors that could contribute to the success and continued impact of their project, and address them accordingly.

Please describe, for example – the applicant may have its own source or secured from other sources additional funding to continue with the project; partnership with other institutions/organizations to continue with its activities. Where possible, the proposed project also should indicate the possibilities for replicating the project's impacts in other areas/locations; up-scaling and mainstreaming project's findings into local and national policy measures.

SECTION C: PROJECT BUDGET

The Project Budget is an important part of every GEF SGP project proposal and must be completed prior to consideration of a proposed project for funding. Once a project has been approved for funding, the budget information becomes part of the binding Memorandum of Agreement (MOA) between the GEF SGP and the proposing organization.

The development and management of a realistic budget is an important part of developing and implementing a successful GEF project. Careful attention to issues of financial management and integrity will enhance the effectiveness and impact of the project. In keeping with the role of the GEF SGP as a support mechanism for community-level initiatives, every effort has been made to keep financial management requirements as straightforward and non-burdensome as possible. The following important principles should be kept in mind in preparing a project budget:

- Include only costs which directly relate to efficiently carrying out the activities and producing the objectives which are set forth in the proposal. Other associated costs should be funded from other sources.
- The budget should be realistic. Find out what planned activities will actually cost, and do not assume that you will be able to make do for less.
- The budget should include all costs associated with managing and administering the project. In particular, include the cost of monitoring and evaluation.
- "Indirect costs" or administrative overhead costs such as staff salaries and office rent are not funded by the GEF SGP. These therefore should not be part of the funding request.
- GEF SGP funds should be spent according to the agreed budget.
- All relevant, financial records should be made available. These may be independently audited, and may become public information.
- The budget line items are general categories intended to assist in thinking through where money will be spent. If a planned expenditure does not appear to fit in any of the standard line item categories, list the item under other costs, and state what the money is to be used for.
- The figures contained in the Budget should concur with those on the Proposal Cover page.
- GEF SGP grant requests should not exceed fifty thousand United States Dollars (US\$50,000) per project, and per Operational Phase. The NSC may at its discretion decide to grant a smaller amount taking into account other appropriate reasons. In such cases, the proposed project has to be revised and the activity budget has to be re-estimated based on the approved amount.

This Project Budget section consists of two parts which are compulsory to be submitted together with the project proposal.

3.1 Project Funding

The proponent should provide a summary on how the project will be funded. This should be laid out in using the table under Section C: Project Budget - 3.1 Project Funding of the proposal template.

The GEF SGP applies the principle of co-financing the target activities between the relevant partners in the project. It is therefore important that proposing organizations make some contribution towards the operational and programmatic costs of the project. All co-financing (cash and in-kind) whether from the community, proposing organization or third party's contribution (e.g. Government's agency, private sector, etc) should be detailed out accordingly. This should include sources and nature of the contribution (e.g. Youth Organization contributing labour, land, cash, etc). Please indicate whether the contribution is already committed or just a projection. Prove of secured additional funds or co -financing (either in-cash or in-kind) certainly will lend a great support to the proposed project's request for SGP grant.

3.2 Projected Expenditures

This section will detail expenditure categories and how the funds will be dispensed over the project period. Typically, SGP projects generally do not exceed 2 years, however, the exact length of the period can be determined in consultation with National Coordinator and NSC based on project objectives. The anticipated expenditures in the project must be captured with clear line items as indicated in Section C: Project Budget - 3.2 Project Expenditures of the proposal template.

Budget estimate based on the planned activities should be prepared according to the required format and submitted together with the proposed project. The budget will be apportioned between a number of items and the proponent is advised to plan carefully the estimates to avoid cost-overrun. Budget movement between different activities and items may be allowed with proper justification but SGP policy is not to top-up or provide additional funds to cover budget shortages. SGP also practices the policy of ensuring substantial amount of the grant should be earmarked for engaging local community in the proposed project.

Generally, the budget is divided into the following six items:

No.	Budget Lines	Descriptions
i	Administration	up to 15% of the approved amount could be allocated to cover administrative and office-run charges.
ii	Activities	this is the most crucial component and bulk of the budget is expected to be parked here. Please provide budget estimates for each activity and its associated expenditure items.
iii	Equipments & Materials	non-activity related purchase of equipments such as computer, laptops, printer, camera, etc.
iv	Monitoring and Evaluation	please indicate number of M&E visits; number of people involved and estimated costing which may include transportation; meals; daily allowance etc.
V	Documentation	 refers to progress and final report production, and publication and documentation of project activities in the form of CDs, video and printing materials.
vi	Contingency	not more than 5% of the total approved SGP grant, to include a budget of \$1,000 for participating in SGP related training, workshops.

3.3 Bank Details

Please provide the bank account information where project funds are proposed to be received as per table below. A copy of letterhead of a recent bank statement with clear indication of account holder title, account number and name of bank should be attached as part of annex to the proposal.

Account Holder Title	
Account Number	
Name of Bank	
Address of Bank	

A. GEF SGP Project Indicators

GEF SGP project indicators in the focal areas of biodiversity, climate change, land degradation and sustainable forest management, international waters, and chemicals are presented below. Proponents are advised to select relevant focal area indicators from the table below. In addition, proponents (if necessary in consultation with the NC), should identify and include indicators within the areas of impact pertaining to "Capacity Development, Policy Influence & Innovation", "Livelihoods & Sustainable Development, Community Based Adaptation and Empowerment".

	GEF SGP OP5 results indicators
Biodive	ersity (BD)
BD1	 Hectares of indigenous and community conserved areas (ICCAs) influenced Hectares of protected areas influenced Hectares of significant ecosystems with improved conservation status
BD2	 Hectares of production landscapes / seascapes applying sustainable use practices Number of significant species with maintained or improved conservation status Total value of biodiversity products/ecosystem services produced (US dollar equivalent)
Climate	e Change (CC)
CCM1	 Tonnes of CO2 avoided by implementing low carbon technologies: Renewable energy measures (please specify) Energy efficiency measures (please specify) Other (please specify) Number of community members demonstrating or deploying low-GHG technologies
	Total value of energy or technology services provided (US dollar equivalent) Taggle of COS excided by implementing lawy early and a shape and a
CCM4	 Tonnes of CO2 avoided by implementing low carbon technologies: Low carbon transport practices (please specify) Total value of transport services provided (US dollar equivalent)
ССМ5	 Hectares of land under improved land use and climate proofing practices Tonnes of CO2 avoided through improved land use and climate proofing practices
Land d	egradation (LD) & Sustainable Forest Management (SFM)
LD1	 Hectares of land applying sustainable forest, agricultural and water management practices Hectares of degraded land restored and rehabilitated
LD3	Number of communities demonstrating sustainable land and forest management practices
Interna	tional Waters (IW)
IW	 Hectares of river/lake basins applying sustainable management practices and contributing to implementation of SAPs Hectares of marine/coastal areas or fishing grounds managed sustainably Tonnes of land-based pollution avoided
Chemic	cals (POPs)
POPS	 Tons of solid waste prevented from burning by alternative disposal Kilograms of obsolete pesticides disposed of appropriately Kilograms of harmful chemicals avoided from utilization or release

	OFF COR OR was the live Products
	GEF SGP OP5 results indicators
Capac	ity Development, Policy and Innovation (all focal areas)
	 Number of consultative mechanisms established for Rio convention frameworks (please specify)
	Number of community-based monitoring systems demonstrated (please specify)
CD	Number of new technologies developed /applied (please specify)
-	 Number of local or regional policies influenced (level of influence 0 – 1 – 2 – 3 – 4 – 5)
	\circ Number of national policies influenced (level of influence $0 - 1 - 2 - 3 - 4 - 5$)
	 Number of people trained on: project development, monitoring, evaluation etc. (to be specified according to type of training)
Livelih	noods, Sustainable Development, and Empowerment (all focal areas)
	Livelihoods & Sustainable Development:
	 Number of participating community members (gender disaggregated) (Note: mandatory for all projects)
	Number of days of food shortage reduced
	 Number of increased student days participating in schools Number of households who get access to clean drinking water
	o Increase in purchasing power by reduced spending increased income and/or
Cross	other means (US dollar equivalent)
cuttin g	 Total value of investments (e.g. infrastructure, equipment, supplies) in US
	Empowerment:
	 Number of NGOs/CBOs formed or registered
	 Number of indigenous peoples directly supported
	 Number of women-led projects supported
	 Number of quality standards/labels achieved or innovative financial mechanisms put in place

B. SGP Community Based Adapation (CBA) Project Indicators

These indicators are to be used only in SGP Country Programmes which have access to GEF SPA-CBA and/or Aus-Aid co-funded CBA programmes for grant-making in the area of Community Based Adaptation to Climate Change.

Comm	nunity B	ased Adaptation (CBA)
СВА	0 0	Number of households, businesses engaged in vulnerability reduction or adaptive capacity development activities, as a proportion of households in the community or region targeted by the project. Percent change in stakeholders' behaviors utilizing adjusted practices or resources for managing climate change risks. Number of beneficiaries of project receiving training in implementation of specific adaptation measures or decision-support tools Number of CBA "lessons learned" from the project