



## CALL FOR PROPOSALS

### GEF SGP Strategic Projects (5<sup>th</sup> Operational Phase: 2011-2014)

#### I. Background:

The Global Environment Facility (GEF) Small Grants Programme (SGP) provides to civil society organizations (including national NGOs, community-based organizations, and indigenous peoples organisations) in 126 countries. Grants are provided in the following GEF focal areas: mitigation of climate change (CC), conservation of biodiversity (BD), protection of international waters (IW), reduced impact of chemicals and Persistent Organic Pollutants (POPs), prevention of land degradation (LD), and promotion sustainable forest management (SFM). SGP also seeks to generate sustainable livelihoods, reduce poverty, and create community empowerment.

SGP Malaysia was opened in 1999 and started financing projects in 2000. Since then, SGP Malaysia has succeeded in funding and providing support for more than 97 projects.

#### II. Objectives:

The purpose of the portfolio of OP5 Strategic Projects (SPs) is to enable eligible national stakeholders in Malaysia to carry out the following:

- ✓ Create greater impact and closer links between local efforts and global environmental benefits (GEBs) by supporting more extensive geographical coverage and/or thematic consolidation for policy improvement in mature SGP country programmes;
- ✓ Make effective use of the built up capacity of local NGOs, CBOs and communities for replication of successful technologies and approaches;
- ✓ Improve the capacity of the SGP and its partners to leverage larger funds from potential partners and donors;
- ✓ Strengthen the sustainability and replicability of SGP projects;
- ✓ Assist SIDS and landlocked LDCs to benefit from specialized expertise and/or exchanges which is not available in the SGP programme country;
- ✓ Pilot innovative market mechanisms and financial instruments (i.e. such as Payments for Ecosystem Services, PES; environmentally friendly loans; revolving funds; and/or sustainable financing for clean energy technologies);
- ✓ Accumulate national and global experience in the development and implementation of projects of larger coverage enabling SGP to link more effectively with the MSP and FSP modalities of the GEF, as well as that of other donors and governments
- ✓ Strategically position civil society participation and leadership in new and innovative policies and programmes with non-GEF funding (i.e. wide implementation of community-based adaptation (CBA), ecosystem-based adaptation (EBA), community-based REDD+, sustainable energy for all (SE4ALL), strengthening direct access to funding mechanisms such as the Adaptation Fund and the Green Climate Fund)

### III. Outputs:

The expected outputs of the OP5 Strategic Project may be developed following the attached format for SGP Malaysia, in consultation with the SGP National Coordinator (NC) David Lee, [david.lee@undp.org](mailto:david.lee@undp.org), tel: +(603) 2091 5115, and other relevant partners.

### IV. Timing:

The OP5 Strategic Project for SGP Malaysia must be planned to take place during the 5<sup>th</sup> Operational Phase of SGP running from January 2011 to December 2014.

### V. Budget:

Funding may be provided from the GEF not to exceed **US\$150,000**. A detailed budget breakdown should be provided by the proponent including all estimated costs, according to the attached proposal format for SGP Malaysia.

Please submit OP5 Strategic Projects proposals for SGP Malaysia to the following address:

GEF Small Grants Programme  
Wisma UN, Block C, Kompleks Pejabat Damansara  
Jalan Dungun, Damansara Heights  
50490 Kuala Lumpur  
Malaysia



**GEF SGP OP5 STRATEGIC PROJECT TEMPLATE<sup>1</sup>**

**1. TABLE OF CONTENTS<sup>2</sup>**

**2. COVER PAGE**

Country:.....Submission date.....

Project No. \_\_\_\_\_ (For SGP Official Use. Do not write anything here)

Project Title: \_\_\_\_\_

(The title must capture the essence of project and aligns to GEF focal areas)

**APPLICANT**

Name of Organization: \_\_\_\_\_

Year established \_\_\_\_\_ Number of members \_\_\_\_\_

Number of projects implemented \_\_\_\_\_

Mailing Address: \_\_\_\_\_ Physical Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_

Principal Officer: \_\_\_\_\_ (Name and Position)

Project Contact/Manager: \_\_\_\_\_ (Name and Position)

**PROJECT**

GEF SGP Classification

Thematic/Focal Area (Tick one) <sup>3</sup>		Project Category (Tick one)	
<input type="checkbox"/>	Conservation of Biodiversity	<input type="checkbox"/>	Demonstration Project
<input type="checkbox"/>	Climate Change	<input type="checkbox"/>	Capacity Development Project
<input type="checkbox"/>	Land Degradation and Sustainable Forest Management	<input type="checkbox"/>	Applied Research/Policy Analysis
<input type="checkbox"/>	International Waters	<input type="checkbox"/>	Information/Networking/Policy Dialogue
<input type="checkbox"/>	Chemicals (POPs)	<input type="checkbox"/>	
<input type="checkbox"/>	Capacity development	<input type="checkbox"/>	

Proposed Start Date<sup>4</sup>: \_\_\_\_\_ Expected Project Duration: \_\_\_\_\_

**FINANCES**

Total GEF SGP Request: [Local currency] \_\_\_\_\_ [US\$ \_\_\_\_\_]

<sup>1</sup> This generic project template can be customized if needed in accordance with the country needs and country programme strategy.

<sup>2</sup> Details are provided in the guidelines which include what should go into the contents page

<sup>3</sup> Each project should have one primary Focal Area which should be indicated. In addition projects may have secondary focal areas which should be specified in the project rationale and approach. Appropriate indicators should be selected in line with the primary and secondary focal areas of the project.

<sup>4</sup> Four months after submission

Total from Other Sources: [Local currency] \_\_\_\_\_ [US\$ \_\_\_\_\_]

Total project cost : [Local currency] \_\_\_\_\_ [US\$ \_\_\_\_\_]

UN rate of exchange \_\_\_\_\_ (For SGP Official Use. Do not write anything here)

### 3. PROPOSAL

#### **SECTION A: PROJECT RATIONALE AND APPROACH**

- 1.1. Project Summary
- 1.2. Organizational Background and Capacity to implement the Project
- 1.3. Project Objectives and Expected Results
- 1.4. Description of Project Activities
- 1.5. Implementation Plan and Time-frame
- 1.6. Plan to Ensure Community Participation
- 1.7. Knowledge Management
- 1.8. Gender Mainstreaming
- 1.9. Communication of Results and Replication

#### **SECTION B: PROJECT RISKS, MONITORING & EVALUATION**

- 2.1. Risks to Successful Implementation
- 2.2. Monitoring, Evaluation Plan and Indicators
- 2.3. Sustainability of Results Achieved

#### **SECTION C: PROJECT BUDGET**

- 3.1 Financial Details
- 3.2 Projected Expenditures
- 3.3 Bank Details

#### **ANNEX 1: INDICATORS**

- A. GEF SGP Project Indicators
- B. SGP CBA Project Indicators

## **GEF SGP PROJECT PROPOSAL GUIDELINES**

### **GENERAL REQUIREMENTS**

The Project Proposal should include the standard cover sheet, a one-page table of contents and should not exceed 15 pages of text (including any charts or diagrams). The Proposal should be submitted in typed form.

Additional attachments (not more than 10 pages) may be submitted, including documents certifying the status of the organization, endorsements of the proposed project, funding commitments or other indicators of participation and support from other institutions, and evidence of community support and participation.

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, [Full address of the SGP Offices]*. 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. It is suggested that the proposal does not exceed the total number of pages stipulated.

#### **1. TABLE OF CONTENTS**

The table of contents should be prepared in a logical and consistent manner and following the format presented.

#### **2. COVER PAGE**

The cover page provides an important summary of the project. Each project will be assigned a project number by GEF SGP as appropriate to the country. The cover page should indicate the duration and start date of the project, provide the applicant's details, identify the GEF focal area the proposal is targeting, , and include information on project finances specifying total requested support from the GEF and co-financing available and/or expected. The co-financing can be in kind, cash or parallel in nature. The UN rate of exchange at the time of proposal submission by the grantee should be logged in by the National Coordinator (NC) regardless of the fact that projects may be evaluated and approved by the NSC at a later date.

#### **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 to implement the project

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. The issues to be covered in this section include:

- Nature of the proposing organization – is it an informal group of interested parties, a community-based organization (CBO), national or sub-national NGO, research or training institution
- 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
- 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.

### 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).

#### 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.

#### 1.5 Implementation Plan and Time Frame

This section may be presented in graphical (table) form and can 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.

#### 1.6 Plan to Ensure Community Participation <sup>5</sup>

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

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.

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<sup>5</sup> 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.

## 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:

### 2.0 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.

### 2.1 Monitoring, Evaluation Plan and Indicators

This section should be laid out as per table 1 below. It should contain an explanation of the plan for monitoring and evaluating the project, both during its implementation (field activities) and at completion (review and analysis).

Table 1: Activity Planning

#### Project monitoring schedule

Brief description of General Objective of Project:														
Brief Description of Specific Objective No 1 <sup>6</sup> :														
List the activities necessary to fulfil this objective. Indicate who is responsible for each activity and an indicator of activity accomplishment.			Duration of Activity in Months (or Quarters)											
Activity	Responsible Party	Indicator	1	2	3	4	5	6	7	8	9	10	11	12
1.1														
1.2														
1.3														
1.4														

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.

<sup>6</sup> Please indicate as many objectives as in the project and include rows as required for the project under preparations.

## Project indicators

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*).

### 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.

## 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.

### 3.1 Financial Details

#### a. Project Funding Summary

The proponent should provide a summary on how the project will be funded. This should be laid out in a matrix form as in table 2 below.

Table 2: Project funding summary

Funding Source	Funding Plan, [local currency]		Total [local currency]	Total US\$
	Year 1	Year 2		

a. GEF SGP				
b. Community				
c. Proposing Organization				
d. Other co-financiers				
<b>Total Project Cost</b>				

### b. Community Contribution

All cost-sharing contributions (cash and in-kind) should be itemized. In particular, the in-kind contributions should be estimated using the SGP methodology/guidelines and summarized as in table 3 below. 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.

Table 3: Community Contributions

Sources of Community Contribution	Type (cash/in kind <sup>7</sup> )	Committed or Projected?*	Value, in local currency
1.			
2.			
<b>Total</b>			

### c. Proposing Organization Contribution

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. This can be laid out in a simple matrix as in table 4 below and should capture the different project partners and proponents.

Table 4: Proposing organizations contributions

Sources of Contribution	Type	Committed or Projected?	Value, local currency
1.			
2.			
<b>Total</b>			

## 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 as below with clear line items.

Table 5: Projected expenditures

Expenditure Category	Year 1, [local currency]	Year 2, [local currency]	Total, [local currency]	US\$	% Total
1. Personnel / Labour					

<sup>7</sup> Refers to contributions made directly towards projects realization such as labour, materials, time and other quantifiable resources that count towards the achievement of the project results. An approximate amount should be indicated in the table.

2. Equipment / Materials					
3. Training / Seminars / Travel Workshops					
4. Contracts					
7. Other support requested <sup>8</sup>					
<b>Total Project Cost</b>					

### 3.3 Bank Details

Please provide the bank account information where project funds are proposed to be received.

When the proponent is a well established organization, which may have multiple bank accounts, it is necessary to indicate which bank account will be used to receive SGP funds, and how these funds can be tracked and accounted for.

When the proponent is a new community group, details should be provided on how the book keeping will be done and if necessary include a capacity building element within the project proposal that will enable the proponent to operate financially. If the community group is successful in receiving an SGP grant, a separate bank account would have to be opened for handling of grant funds. This should be done in the shortest time frame possible.

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<sup>8</sup> Outline other forms of support requested from SGP which are not included in the budget. This support may be for both technical and administrative matters (and not for additional funding). This may cover areas which you need to specify such as: Consultants; Procurement; and Other (specify).