


OAK
FOUNDATION
Grant Application Form

Please complete each question by entering your response in the relevant shaded area. Please do not adjust the font size from Times New Roman 11 point.

1. Organisation's name:	<u>Global Environment Facility Small Grants Programme/ Community Management of Protected Areas Conservation Programme Implemented by the United Nations Development Programme in Belize</u>
--------------------------------	--

2. Project's name:	<u>GEF SGP/ COMPACT Re-granting of OAK Funds towards protecting and conserving the Belize Barrier Reef Reserve System World Heritage Site</u>
---------------------------	--

3. Summarise your organisation's mission (75 words maximum)

COMPACT is an initiative of the UNDP/Global Environment Facility Small Grants Programme (SGP), the United Nations Foundation (UNF) and other partners. COMPACT was jointly established by GEF SGP and United Nations Foundation (UNF) in 1999 and is implemented by UNDP. The mission of the Community Management of Protected Areas Conservation Programme (COMPACT) in Belize is to preserve the integrity and character of the Belize Barrier Reef System (BBRRS-WHS) by developing and supporting a range of conservation and sustainable livelihood activities through transparent and democratic partnerships with coastal communities and other stakeholders.

4. Summarise the project's ultimate goal(s) (200 words maximum)

- To partner with the Oak Foundation to re-grant and co-finance projects at the community level through Community Based Organizations to strengthen the conservation and sustainable use of the resources of the Belize Barrier Reef Reserve System World Heritage Site.
- To build the capacity of civil society organizations including emerging community groups, fishing associations, cooperatives, and Non-Governmental Organizations by employing an on the ground approach providing routine mentoring and support by the COMPACT Local Coordinator and on site Mentors aimed at strengthening partnerships in coastal communities.

COMPACT takes a landscape approach to conservation and funding projects in the coastal communities in Belize. COMPACT's investments in community projects and initiatives have contributed to the protection, conservation and sustainable use of the marine resources in Belize. GEF SGP and COMPACT will match the US\$326,000 and will fund projects which contribute to the mission and vision of the Oak Foundation and that of the GEF SGP/COMPACT.

5. Total Amount requested from Oak:	326,000.00	Currency:	United States Dollar
--	------------	------------------	----------------------

Please provide the contact details for the person who will be Oak's main point of contact.

6. Main contact details:	Title:	Mr.	Last name:	Requena
---------------------------------	--------	-----	------------	----------------

First name:	Leonel	Position:	COMPACT Local Coordinator
-------------	--------	-----------	---------------------------

Full mailing address:	3rd Floor Lawrence Nicholas Building South Ring Road Belmopan
-----------------------	---

City:	Belmopan	Country:	Belize	Post/ZIP Code:	
-------	----------	----------	--------	----------------	--

Telephone number:	(501) – 822-2462	Fax number:	(501) 822- 3364
-------------------	------------------	-------------	-----------------

Email address:	Leonel.requena@undp.org	Website:	http://sgp.undp.org/
----------------	-------------------------	----------	---

Please provide the contact details for your chief executive or other person who is authorised to sign contracts.

Authorised signatory's details:	Title:	Mr.	Last name:	Valent
--	--------	-----	------------	--------

First name:	Roberto	Position:	UNDP Resident Representative
-------------	---------	-----------	------------------------------

Full mailing address:	<u>3rd Floor Lawrence Nicholas Building</u> <u>South Ring Road, Belmopan City</u> <u>Belize</u>
-----------------------	---

City:	Belmopan	Country:	Belize	Post/ZIP Code:	
-------	----------	----------	--------	----------------	--

Telephone number:	(501)822 2462	Email address:	Roberto.valent@undp.org
-------------------	---------------	----------------	-------------------------

7. Grant period:	Start date:01/01/2013	End date:	31/12/2014
-------------------------	-----------------------	-----------	------------

8. Country (in which activities will take place):	Belize
--	--------

9. What is the context of the project? For example, what legal, economic, social and environmental issues, if any, led to this project's design and development? (1,000 words maximum)

The goal of COMPACT is to preserve the ecological integrity, biodiversity and character of the Belize Barrier Reef Reserve System - World Heritage Site, by developing and supporting a range of conservation and sustainable livelihood activities through transparent and democratic partnerships with coastal communities and other stakeholders. The main purpose is to promote and finance community level interventions that help to reduce threats to the BBRRS - WHS and that are complementary to other conservation initiatives.

The COMPACT Baseline Assessment identified that the major threats to the BBRRS-WHS are uncontrolled development, over fishing, physical damage, shrimp trawling, agricultural and aquaculture activities, sewage pollution and global warming. Marine-based threats to the Belize Barrier Reef Reserve System are derived from ports and shipping lanes, dive centers and destinations and volume of visitors. The major marine-based threats include pollution from shipping and ports such as oil discharge, oil spills, ballast and bilge discharge,

solid waste dumping and direct physical impacts from anchor damage, groundings and physical impact from visitors. Direct damage to corals has been reported from areas with intensive boat and diving activity, including anchor damage, boat groundings, and direct impacts from divers.

Coastal communities represent a significant factor in the management and protection of marine biodiversity within the Belize Barrier Reef Reserve System as they are one of the major user groups of the marine resources and account for 63 percent of the Belize's population. The main use of the marine resources for the coastal communities is for fishing. However, some communities are making a transition from fisheries to tourism. The fisheries sector is an important stakeholder that is normally seen as one that uses and exploits the resources of the Belize Barrier Reef Reserve System. This sector includes commercial and subsistence fishers from coastal communities and fishing cooperatives. Fishers from Sarteneja, for example, travel as far as the southern part of Belize and are known to harvest along or around most of the protected areas of the Belize Barrier Reef reserve System. The Belize reef is facing increasing pressures, with recent studies showing that there has been a significant decline in reef health throughout the coastal waters. At local, national and regional levels, it is acknowledged that the traditional fishing industry in Belize is at risk, with too many fishermen seeking a limited resource, and impacts from human development and climate change having the potential to impact the reef tourism industry.

Community-based organizations and non-governmental organizations have participated in the management of marine protected areas through co-management agreements. These co management agreements have proven to increase the efficiency and protection of marine protected areas. Other community-based organizations have shown interest in getting involved in the co-management of marine protected areas but they will need capacity building and institutional strengthening.

In COMPACT's current phase of work, a number of activities have focused on building the institutional and leadership capacity of community groups engaged in stewardship of the reef. For example, COMPACT is matching grantees in remote areas with mentors, so that more grassroots groups have the resources they need to be successful. In addition, the Community Stewards project has built the capacity of communities within the Maya Mountains Marine Corridor (MMC)—a ridge-to-reef conservation area—for improved co-management of protected areas, including the Port Honduras Marine Reserve, a strategic link between the terrestrial reserves of the MMMC and the Sapodilla Cayes Marine Reserve within the BRRS–WHS.

One of the most important shifts has been in the attitude of fishermen and other resource users in the coastal communities that depend on the health of the Belize Barrier Reef System. Fishermen, once opposed to the establishment MPAs, have become advocates for the sustainability of the MPAs. COMPACT has been instrumental in providing capacity building for newly established fishing associations and alternative livelihood opportunities for fisherfolk. These initiatives have been successful and fishermen who have fished for most of their life are now turning to farming activities for their livelihood. They recognize that there is a decline in fisheries resources and are willing to explore alternative livelihood initiatives. In addition, many fishers have been trained as marine tour guides and dive masters to provide services within the tourism industry. Many are involved in consultations to expand

the boundaries of the no-take zones within the MPAs of the Belize Barrier Reef System and to improve fisheries management policies within the reef. Community groups implementing projects supported by COMPACT are represented on advisory bodies and thus play a key role in decision-making regarding the future of the BBRRS—WHS.

Oak Foundation's principles and strategic priorities for marine conservation in the Mesoamerican Reef system complement COMPACT's objectives for the protection and sustainable use of the Belize Barrier Reef Reserve System- World Heritage Site. The Oak Foundation and COMPACT promote strong, diverse and organized civil society participation and the empowerment of disadvantaged and vulnerable groups by ensuring that they are involved in decision making on the distribution of resources through responsible local governance mechanisms. The Oak Foundation and COMPACT foster policy changes by investing in socially and environmentally sustainable initiatives and the sharing of lessons learned with a wide range of partners including regulatory agencies.

10. Project Objectives (2,200 words maximum)

Please list your objectives for this project in bullet point format. (You may use additional space if you have more than three objectives). Under each objective describe the activities that your organisation will undertake to achieve it, including time frame and the results or outcomes you expect to achieve.¹

10a. Objective 1

- **To provide grant funding to Community Based Organizations, Fishing Association, Fishing Cooperatives and Non-Governmental Organizations to implement projects that reduces the pressures on the marine resources and the Belize Barrier Reef Reserve System World Heritage Site.**

¹ Project objectives are precise milestones or achievements that indicate clear progress toward your ultimate goal. Project results or outcomes describe the impact you expect from your activities. For example, one of the ultimate goals of your project might be to protect a forest. In this case, one objective might be the passage of legislation that results in the protection of two endangered species and the watershed for a nearby city. Your objectives and outcomes/results should be concrete enough for the Foundation to assess the value and impact of your project.

10 b. Objective 1: Activities and time frame

- Award 4 Small Grants to Civil Society Organizations to implement projects by June 2013.
- Award 4 Small Grants to Civil Society Organizations to implement projects under COMPACT's Thematic area by December 2013
- Award 4 Small Grants to Civil Society Organizations to implement projects under COMPACT's Thematic area by June 2014.

Projects will be awarded under the three COMPACT Thematic Areas: "Expand Sustainable Livelihood Options"; "Promote the Protection, Conservation and Sustainable Use of Resources"; "Develop and Enhance, Management Capacities of Stakeholders that Impact the Belize Barrier Reef Reserve System World Heritage Site"

Projects will be funded up to a maximum of \$US50,000.00 of which 50% (\$US 25,000.00) will be provided through Oak Funding and 50% (\$US 25,000.00) will be provided through GEF SGP/COMPACT Funding.

10c. Objective 1: Results or outcomes

These projects will address the major identified needs of the coastal communities and will generate the following results:

- Increased Capacities of coastal Community Based Organizations and emerging groups
- Better Marine Protected Areas Management
- Greater Awareness of Biodiversity & Conservation Needs
- Improved /Enhanced Community Livelihoods Benefits
- Enhanced Stakeholder Communication, Consultation, and Consensus-Building
- Broader dissemination of Lessons, Best Practices

10d. Objective 2 (if any)

- To build the institutional capacity of civil society organizations including emerging community groups, fishing associations, cooperatives, and Non-Governmental Organizations by employing an on the ground approach providing routine mentoring and support by the COMPACT Local Coordinator and on site Mentors aimed at strengthening partnerships in coastal communities.

10e. Objective 2: Activities and time frame

- Conduct an organizational assessment for each proponent group applying for funding
- Civil Society Organizations applying for grant funding will need to develop documents such as: Strategic Plans, Marketing Plans, Business Plans, Board Manuals and Internal Financial

Procedures Manuals among others.

- COMPACT LC and Mentors will support grantees in the design and development of these.

All projects will incorporate aspects of the above-mentioned activities during implementation of the projects. Continuous guidance and support will be provided during project implementation and as follow-up.

10f. Objective 2: Results or outcomes

The interventions will result in twelve civil society organizations with improved institutional capacity and skills in the following areas:

- Technical knowledge and oversight
- Financial systems
- Project Management expertise
- Trained Human Resources
- Infrastructure and equipment and
- Management Systems

The capacity building investments will be geared towards enhancing the efforts of coastal Civil Society groups to engage in the conservation and protection the Belize Barrier Reef Reserve System World Heritage System.

10g. Objective 3 (if any)

10h. Objective 3: Activities and time frame

10i. Objective 3: Results or outcomes

11. How does your project complement the work of other organisations?

COMPACT takes a landscape approach – one based on supporting local communities in their stewardship of ecosystems and the broader landscape/seascape. Refined over a decade of work,

COMPACT's methodology is designed to pilot the landscape approach in a wide range of ecological and socio-economic situations. Rooted in science, this methodology is also highly participatory in nature, seeking to engage local people and other stakeholders in consultation throughout the process. COMPACT supports the development and funding of a highly vetted slate of projects to protect the marine resources of the Belize Barrier Reef System by engaging fishing cooperatives and associations, tour guide associations, women's groups, community based organizations and non-governmental organizations within civil society to implement projects that ensure environmental protection, sustainable livelihoods and community empowerment.

This project fits within the United Nations Development Assistance Framework (UNDAF) for Belize and contributes to the achievement of the Millennium Development Goals.

The efforts of this project will complement the work of the government regulatory agencies (Fisheries Department, Forest Department and Cooperative Department) in promoting and adhering national development policies and priorities, and engaging communities in the sustainable use of our marine resources.

COMPACT funds existing Oak beneficiaries such as (TIDE, SEA, YCT and SACD) and these organization have used Oak funding to leverage support from GEF SGP/COMPACT.

12. Project Evaluation

12a. How will your team plan to evaluate the impact of the project? Will this be done internally or by an outside consultant? (400 words maximum)

COMPACT has a strong monitoring and evaluation process in place with all projects required to have a Monitoring and Evaluation plan and log frame matrix. Quarterly Project Review Meetings are held by the Project Steering Committee established for each project and a Midterm review is conducted for each project. The COMPACT proposal format includes a Monitoring and Evaluation table.

The twelve (12) projects will have the following:

- On-going Monitoring and Evaluation guided by COMPACT LC
- End of Project Participatory Evaluation
- Projects will be included in the GEF SGP Programme external evaluation conducted at the end of the every operational phase.
- At the end of 2012 the twelve projects will be evaluated to determine the level of success of these interventions and their contribution to the achievement of COMPACT's and Oak Foundation goals and objectives using an external consultant and specific Terms of Reference.

12b. How does your team use the information collected in the evaluation to improve the quality of your team's work and enable learning within and outside your organisation? (400 words maximum)

There is an on-going process of gathering information on lessons learnt and best practices. GEF SGP /COMPACT conduct an annual Grantee Information Exchange and Capacity Building Workshop to facilitate learning. Progress Reports, photos and results drawn from end of project evaluations are uploaded to the GEF SGP database which is available online.

The annual Grantee Information Exchange and Capacity Building Workshop is used to showcase the

efforts of community groups and to provide an opportunity for disseminating good practices and for communicating new and update procedures and guidelines.

12c. How will the design of this project and your organisation's strengths help your team meet its project objectives? (500 words maximum)

The proposed initiative is a partnership between OAK Foundation and the GEF Small Grants Programme/COMPACT. GEF SGP/COMPACT has the institutional and absorptive capacity to manage and re-grant Oak Foundation funds for community level projects within the COMPACT Site Strategy applying established GEF SGP/COMPACT mechanisms, operational guidelines and grant making procedures. This project entails a formal partnership aimed at the mutual leveraging of financial resources.

GEFSGP/COMPACT has a number of strengths which will contribute to the a strong partnership with the Oak Foundation to re-grant and co-financing community level projects and build the capacity of Civil Society Groups.

These are:

- GEF SGP and COMPACT programmes are housed within the United Nations Development Programme Country office. GEF SGP /COMPACT adheres to the UNDP financial policies and procedures
- GEF SGP and COMPACT has a multi-sectoral National Steering Committee (Civil Society, Government of Belize representative, Academia and will be complemented by the participation of an Oak Foundation representative).
- The Local Consultative Body provides technical screening and support
- GEF SGP /COMPACT provides Planning Grants and supports towards project design and development
- GEF SGP/COMPACT work with and nurture new and emerging groups to access funding
- Good track record of leveraging co-financing
- GEFSGP and COMPACT are proven cost-effective an efficient donor programmes.

12d. What are the difficulties and risks (internal and external) that threaten the project? How will your team manage these? (500 words maximum)

There are few difficulties and risks associated with implementation of this project. They are;

- Lack of organization and formalization of community groups

The hands on support and mentoring and capacity building approach will be used to encourage the establishment and participation of new and emerging community groups.

- Buy in and interest by the local coastal community groups to seek support through the grant mechanism

Some groups in coastal communities are a bit sceptical about the conservation programme which may be seen as attempts to restrict their livelihood activities (particularly among traditional lobster/conch fishermen). To ensure effective participation, key potential influential leaders in the community will be trained and equipped to increase broader participation. In addition, the Mentors will provide one on one guidance and support to these emerging leaders.

- Natural Disaster such as major storms and hurricanes

As part of the capacity building approach, new and emerging community groups will be trained in vulnerability assessment and disaster reduction to better prepare themselves to respond to hurricane threats another natural disasters in their respective communities.

- Global economic crisis

By providing skill development and alternative livelihood opportunities community members will be able respond to the effects of the global economic impacts.

12e. Are there particular opportunities that make your project advantageous, or that make its timing crucial? (250 words maximum)

Presently, Belize is experiencing high levels of poverty and unemployment. This partnership provides an opportunity for prioritizing improved livelihoods within project interventions, along with community empowerment and environmental protection. These are the three pillars of the GEF SGP: environmental, social and economic.

Projects which prioritize improved livelihoods fit with the three COMPACT Thematic Areas: “Expand Sustainable Livelihood Options”; “Promote the Protection, Conservation and Sustainable Use of Resources”; “Develop and Enhance, Management Capacities of Stakeholders that Impact the Belize Barrier Reef Reserve System World Heritage Site”

There are more pressures on the fisheries resources and providing opportunities for alternative income generating activities is timely for coastal communities.

12f. Are there future opportunities that might result from this project? (250 words maximum)

The opportunities to have a strong and vibrant network of community based organizations within relevant institutional capacity effectively contributing to the conservation and protection of the Belize Barrier Reef Reserve System World Heritage Site.

The inclusions of mechanisms for further stakeholder engagement will provide opportunities for Marine Protected Areas Management Organizations to work more effectively with community stakeholders and marine resource users.

A coordinated approach to funding and supporting Community Based Organizations with a view towards strengthening community interventions and ensuring long term sustainability. In addition, diversification of income generating activities in marginalized and vulnerable communities in an effort to reduce pressures on the dwindling marine resources.

13. Does anyone in your organisation have any personal or commercial relationship with any member of the Oak organisation?

Yes: ___/No: X

If yes please explain:

14. Please confirm your tax exempt status and attach a copy of your organisation’s tax-exempt certificate:

UNDP as a UN Agency is covered under the Standard Basic Agreement with the Government of Belize and as such is entitled to the “Provisions of the Convention on the Privileges and Immunities of the United Nations.

Additional information to support your application

1. Please provide complete budget details using the accompanying Excel template.
2. Please attach the following to your application:
 - A. Your organisation's most recent audited and unaudited financial statements and annual report.
 - B. A list of your Board of Directors with their affiliations
 - C. Names and contact details of two referees working in organisations that are currently funding your activities.

1. Terence Hay-Edie

Programme Specialist

Central Programme Management Team

Daily News Building, 220 East 42nd Street, 21st Floor

New York, NY, 10017

Phone: +16467814385

Email: terence.hay-edie@undp.org

2. Markus Schnall

Small Grants Cluster

United Nations Office for Project Services (UNOPS)

405 Lexington Avenue, 5th Floor

New York, NY 10174, USA

Tel: +1 (212) 457-1276

Fax: +1 (212) 457-4044

<http://www.unops.org>

markuss@unops.org

D. Names and contact details of two individuals in groups that have benefited from your activities.

1. Joel Verde

Executive Director

Sarteneja Alliance for Conservation and Development

Spiny Lobster Street

Sarteneja Village

Email: sacdsarteneja@gmail.com

(501)600-4507

2. Celia Mahung

Executive Director

Toledo Institute for Development and the Environment

1 Mile San Antonio Road

Punta Gorda Town

Toledo District

Belize C.A.

Tel: (501) 722-2274

Email: cmahung@tidebelize.org

Please submit this completed form, the budget details and all accompanying documents electronically. There is no requirement for you to send hard copies.

Signature.

Date: (dd/mon/yy)	24	09	2012
--------------------------	----	----	------