



United Nations Development Programme

Country: Thailand

Project Document

UNDAF Outcome(s): Improved sustainable utilization and management of natural resources and the environment at national and community levels

Expected CP Outcome(s): Efficient community network in sustainable use of local natural resources and energy with engagement in policy and decision making processes

Expected CPAP Output(s):

Output 1.1 Functioning CBO network formed by grantees of small grant programme with enhanced capacity in getting communities organized, through demonstration of holistic natural resources management and sustainable use

Output 1.2 Demonstration of co-management mechanism and practices between CBOs & government authorities with policy support and secured budget for local sustainable development initiatives

Implementing partner: Department of Marine and Coastal Resources (DMCR)

Responsible Parties: Community-based organizations

Brief Description

Mangroves For the Future (MFF) is a regional initiative involving six Indian Ocean countries that were profoundly affected by the Tsunami of December 2004. Each of the six countries has a strategy setting out its approach to the sustainable development of its coastal areas, with particular emphasis on improving living conditions of its coastal habitants, the establishment of resilient communities and the sustainable conservation and utilization of the natural resources that are a fundamental part of the development infrastructure.

MFF Small Grants Facility (SGF) will make funds available to small scale projects operating in Rehabilitation of coastal ecosystems, supporting sustainable livelihoods that reduce pressure on natural resources, local, district and provincial level policy related issues, community based management, education and public awareness, capacity building and networking.

In relation to geographic focus, small grants disbursed during the initial phase would be limited to the coastal areas of Chumpon, Surrathani, Nakhon Si Thammarat, Ranong, Phang Nga, Phuket, Krabi and Trang Provinces.

Programme Period:	2007-2011
CPAP Programme	Energy & Environment
Component:	for Sustainable Development
Project Title:	Mangrove For the Future Small Grant Facility
Atlas Award ID:	00050691
Atlas Project ID:	00062732
Start date:	1 August 2008
End Date	31 January 2010
Management Arrangement:	NEX with LOAs*

Estimated budget (18 months):	<u>USD 272,315</u>
Total resources required	<u>USD 272,315</u>
Total allocated resources:	USD 165,315
• Regular (TRAC)	
• Other:	
o IUCN	USD 165,315
o Donor	_____
o Donor	_____
o Government	In-kind
Unfunded budget:	USD 107,000

Agreed by (Implementing Partner):

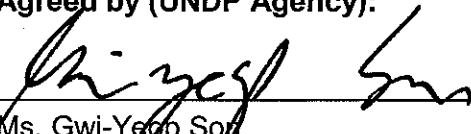


14/11/08

Mr. Samran Rakchart
 Director General
 Department of Marine and Coastal Resources

Date

Agreed by (UNDP Agency):



17/11/08

Ms. Gwi-Yeop Son
 UN Resident Coordinator and UNDP Resident Representative

Date

* National Execution (NEX) with Letters of Agreement (LOA) Modality: The modality aims to ensure national ownership of UNDP Project, by having a government agency, in this case DMCR, to make executive management decisions for the project. The Letter of Agreement, meanwhile, will provide a legal basis for UNDP to give technical and procurement services to MFF National Coordinating Body, chaired by DMCR to facilitate the feasibility and delivery of the project.

Situation Analysis¹

Mangroves for the Future builds on a history of coastal management interventions before and after the 2004 tsunami, especially the call to continue the momentum and partnerships generated by the immediate post-tsunami response. It focuses on the countries worst-affected by the tsunami; India, Indonesia, Maldives, Seychelles, Sri Lanka, and Thailand. The initiative uses mangroves as a flagship ecosystem in recognition of the destruction caused to mangroves by the tsunami, but MFF is inclusive of all coastal ecosystems, including coral reefs, estuaries, lagoons, sandy beaches, sea grasses and wetlands. Its long-term management strategy is based on identified needs and priorities for long-term sustainable coastal ecosystem management. These priorities emerged from extensive consultations with over 200 individuals and 160 institutions involved in coastal management in the Indian Ocean Region.

At the level of implementation, 15 Programmes of Work (PoWs) have been designed to tackle key aspects of long term sustainable coastal management. The programmes are implemented through/or in partnership with national governments, UN agencies, Non-Governmental Organizations (NGOs), community organizations, relief and development organizations, as well as the private sector. Implementation is overseen by a Regional Steering Committee (RSC) and National Coordinating Bodies (NCBs) in each country. These structures ensure accountability, transparency and good governance, and offers learning opportunities among diverse, countries, sectors, and agencies.

At a regional level, implementation of the PoWs is monitored by the MFF RSC co-chaired by IUCN and UNDP, with national government representatives and institutional partners as its members. RSC meetings are held bi-annually. The MFF Secretariat is working closely with the NCB's, and IUCN and UNDP country offices to ensure smooth running of the initiative and its activities.

At the national level, the mandate for directing, regulating, and coordinating development and project activities is steered through NCBs. The NCB in each country selects and recommends appropriate projects and programmes eligible for grants. These are submitted as project proposals to an independent Technical Advisory Panel (TAP) for appraisals, thus ensuring transparency in the selection of projects for funding.

In Thailand, the Thai National Coordinating Body (NCB), chaired by the Department of Marine and Coastal Resources (DMCR) has selected two geographical focal areas. The first is on the Andaman coast, basically the coastal zones and islands of Ranong, Pang Nga, Phuket, Krabi, with possible extension to Trang. The second is on the Gulf of Thailand coast of Chumphon, Surat Thani and Nakhon Si Thammarat.

These areas are selected because they display a variety of coastal management issues; and have been subject to different types of intense human disturbance, but also to projects. Both have been hit by shocks but of different types, that have shown communal vulnerability and the need to build resilience. Projects such as the recently concluded Coastal Habitats and Resources Management (CHARM) project introduced management mechanisms that need to be consolidated and mainstreamed. Sustainable financing is one of these components.

The NCB is therefore proposing two strategic approaches: **the large grant and the small grant facility.** The large project is to support the mainstreaming of lessons learned from recent projects, continue developing innovative responses to on-going issues like abandonment of shrimp farms and coastal erosion, introducing integrated and participative spatial planning and management of the coastal areas, and providing demonstration sites for dissemination of experience of other communities. The Small Grants Facility (MFF-SGF) will focus its works in these geographical areas, supporting community level initiatives within the framework of MFF strategic aims.

In Thailand, UNDP will facilitate the MFF-SGF on behalf of the National Coordinating Body. The identification of priority areas for SGF Funding would be aligned with those actions identified under the National Strategy and Action Plan.

¹ Cf. Thailand Country Strategy and 2008 Action Plan for the Mangroves for the Future Initiatives; see also www.mangrovesforthefuture.org

I. ANNUAL WORK PLAN

Year: August 2008 – January 2010

EXPECTED OUTPUTS <i>And baseline, associated indicators and annual targets</i>	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME						RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4	Q5	Q6		Funding Source	Budget Description	Amount, \$
Output 1 Knowledge Baseline: Individual practices Indicators: Replication of good practices Targets: By 1.5 years, good practices of community-based resources management have been part of local school curriculum	1. Activity Result - Good practices on community based management	X	X	X	X	X	X	Community-based organizations	IUCN	Grants	30,000
	2. Activity Result - Public awareness and local environment education							Community-based organizations	IUCN	Grants	30,000
Output 2 Empowerment Baseline: Depletion of marine and coastal resources Indicators: Improved fertility of coastal resources shown by catching statistics Targets: By 1.5 years, 30% increase of CBOs working on sustainable resources management	1. Activity Result - Rehabilitation of coastal ecosystems	X	X	X	X	X	X	Community-based organizations	IUCN	Grants	40,000
	2. Activity Result - Sustainable livelihoods that reduce pressure on natural resources	X	X	X	X	X	X	Community-based organizations	IUCN	Grants	40,000

EXPECTED OUTPUTS And baseline, associated indicators and annual targets	PLANNED ACTIVITIES <i>List activity results and associated actions</i>	TIMEFRAME						RESPONSIBLE PARTY	PLANNED BUDGET		
		Q1	Q2	Q3	Q4	Q5	Q6				
Output 3 Governance <i>Baseline: No coordination with local government</i> <i>Indicators: co-management system set up</i> <i>Targets: By 1.5 years, CBOs at the target areas have formed its network in natural resources management</i>	1. Activity Result - Local, district and provincial level policy advocacy	X	X	X	X	X	X	Community-based organizations	IUCN	Grants	30,000
	2. Activity Result -Community-based networking	X	X	X	X	X	X	Community-based organizations	IUCN		30,000
Output 4 Capacity Building, Technical and Administrative Support	1 Technical Support and Capacity Building	X	X	X	X	X	X	UNDP	IUCN	Travel & Reimbursement	20,900
	2 Full-time Administrative Support & General Management Services	X	X	X	X	X	X	UNDP	IUCN	Contractual Services & F&A	51,415
TOTAL											272,315

II. MANAGEMENT ARRANGEMENTS

The Small Grants Facility (SGF) will make funds available to small scale projects operating. Calls for proposals for funds will start in 2008. Depending on the response and the initial evaluation of the process, a second round may be held. Thailand's operational mechanisms have been established, and the country's criteria have been finalised, based on the guidelines provided by the Regional Steering Committee.

For Thailand, UNDP will provide the technical and administrative support to facilitate the MFF Small Grants Facility with guidance and supervision of the National Coordinating Body. Key thematic areas for focus will be based on addressing the Knowledge, Empowerment and Governance components of the Thailand National Strategy and Action Plan.

Potential activities that could be funded could include, Rehabilitation of coastal ecosystems, supporting sustainable livelihoods that reduce pressure on natural resources, local, district and provincial level policy related issues, community based management, education and public awareness, capacity building and networking.

In addition, grantees would be required to identify how their projects are linked to local government institutions and integrated into local policies.

In relation to geographic focus, small grants disbursed during the initial phase would be limited to the coastal areas of Chumpon, Surrathani, Nakhon Si Thammarat, Ranong, Phang Nga, Phuket, Krabi and Trang Provinces.

The MFF National Coordinating Body (NCB) would appoint a small working group to provide guidance on priority areas for the determination of small grants and to consider modifications based on the experiences gained from the first round of grants. This working group would work closely with the UNDP focal point for small grants so as to enable integration into the UNDP small grant programme.

To facilitate efficiency and integration, it is recommended that 3-4 additional MFF appointed members be added to the Project Board that provides support to the UNDP small grants programme. MFF members would be identified by the NCB.

The call for small grants would be through the network of contacts that the NCB members have within the targeted geographic areas.

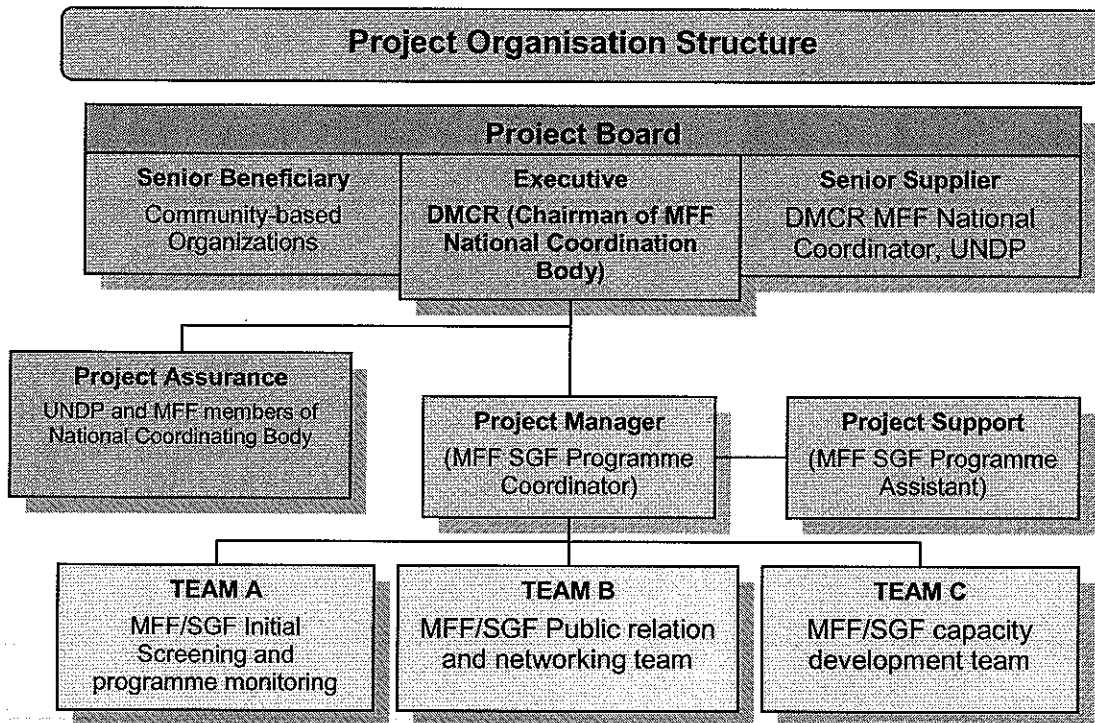
It is recommended that the current practices adapted by the UNDP be applied. This process includes the calling for pre-proposals that are vetted by the UNDP Small grants programme mechanism that are then used to identify suitable concept notes for further development. The criteria used for selection of pre-proposal for further consideration would be in line with the thematic and geographic focus area determined by the NCB.

The selected candidates would then be required to attend a workshop to improve quality of project concept/proposals and then required to develop the final proposal that would be submitted to the National Steering Committee for consideration (please see the TOR attached in Annex II).

The selection criteria of MFF proposals at this stage would be similar to those used by the UNDP small grants programme. Proposals would be evaluated on the following characteristics:

1. Clarity of Activities & Results (30%)
2. Networking/up-scaling capacity (30%)
3. Community Contribution (20%)
4. Compatibility of proposed budget to proposed work (20%)

The project management setup, according to PRINCE 2, is presented as the following:



The Project Board is composed of three parties. The Director General of DMCR, in his capacity as the chairman of NCB, is the Project Executive, providing overall policy directions and support. The community-based organizations will be the beneficiaries of the Small Grants Facility. The supplier role will be represented by DMCR, the National MFF Coordinator, and UNDP, who will be responsible for ensuring the implementation of the project activities and supporting the Project Manager in delivering project outputs and results.

The Project Management Unit for MFF-SGF is led by the UNDP – MFF SGF Programme Coordinator, with three technical teams. The Programme Coordinator is supported by the MFF SGF Programme Assistant. The Project Management Unit is accountable to the Project Executive Group (PEG) for the delivery of the project.

The small grants disbursed for the Thailand component will be based on the guidelines provided by the MFF secretariat, with the exception/addition of the following issues:

1. All concept notes and proposals will be prepared in Thai. For large grants (greater than US \$ 10,000) proposal once approved by the MFF/SGF Project Board will be translated into English.
2. To accommodate the complexity of registering community based organization in Thailand, the grants will also be open to organization not officially registered. However, in complement to UNDP procedures, the grantees will provide a detailed description on their organization and key members responsible for implementation of the grant.
3. A small grant for scientific research will be limited to research that has direct benefits at the community level or promotes local involvement. Small grants that support pure scientific research with no demonstrable application at the local level will not be considered.
4. To buffer grantees against currency fluctuation between the US\$ and Thai baht, an additional 10% of the total grant will be held in trust and could be used to adjust for currency depreciation. Unutilized funds would be returned to the pool for use in future rounds of grants.
5. Small grants that are approved but cannot be implemented due to limited resources, will receive priority in the next round of funding. For such cases, grantees will not be required to go through the pre-proposal phase. However, due diligence will be carried out to ensure that the identified activities are valid and have not been conducted.
6. The technical and managerial aspects of UNDP reporting to the MFF NCB will be addressed through a separate letter of agreement between the MFF secretariat and UNDP. However, UNDP would be required to update the NCB periodically on the status of small groups through reports and presentations at project Board meeting meetings.

III. MONITORING FRAMEWORK AND EVALUATION

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex II), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Quarterly Progress Reports (QPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

Quality Management for Project Activity Results

OUTPUT 1: Knowledge		
Activity Result 1 (Atlas Activity ID)	Good practices on community based management	Start Date: End Date:
Activity Result 2 (Atlas Activity ID)	Public awareness and local environment education	Start Date: End Date:
Purpose	<i>Verification of applicable community-based natural resources management</i>	
Description	<i>Knowledge fair for community exchanges</i>	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
The good practices are adopted with Public awareness and active participation in campaigning the good practices	<ul style="list-style-type: none"> - Public forum hosted/co-hosted by the government and UNDP - Press and other types of medias - Discussion with interested groups - Evaluation of the sessions/ events 	

OUTPUT 2: Empowerment		
Activity Result 1 (Atlas Activity ID)	Rehabilitation of coastal ecosystems	Start Date: End Date:
Activity Result 2 (Atlas Activity ID)	Sustainable livelihoods that reduce pressure on natural resources	Start Date: End Date:
Purpose	<i>To demonstrate community's capacity in natural resources management</i>	
Description	<i>Work plan of demonstration activities once the grants are approved</i>	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Record of livelihood improvement indicated by increasing richness of coastal and marine resources	<ul style="list-style-type: none"> - Provincial statistics record - Regular follow-up with project proponents by MFF project monitoring team 	

OUTPUT 3: Governance		
Activity Result 1 (Atlas Activity ID)	Local, district and provincial level policy advocacy	Start Date: End Date:
Activity Result 2	Community-based networking	Start Date:

(Atlas Activity ID)		End Date:
Purpose	To enhance coordination and support of local and provincial government to community groups	
Description	<i>Consultative meetings and joint campaigns</i>	
Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i>	Quality Method <i>Means of verification. what method will be used to determine if quality criteria has been met?</i>	Date of Assessment <i>When will the assessment of quality be performed?</i>
Local governments allocate more budget to support CBOs network on natural resources management	<ul style="list-style-type: none"> - Interview - Local government annual work plan and budget allocation 	

IV. LEGAL CONTEXT

This document together with the CPAP signed by the Government and UNDP which is incorporated by reference constitute together the instrument envisaged in the Supplemental Provisions to the Project Document, attached hereto.

Consistent with the above Supplemental Provisions, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the implementing partner's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The implementing partner agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

ANNEXES

- I. Terms of Reference of National Steering Committee on Small Grants Programme
- II. MFF/SGF Criteria of Support
- III. MFF/SGF Scoring Sheet

ANNEX I

Terms of Reference

National Steering Committee for Small Grants Programme

NSC Functions and Duties

- lead responsibility, along with the National Coordinator, for MFF SGF Review; and
- review and approval of project proposals, submitted to the MFF SGF by NGOs/CBOs and pre-screened by the National Coordinator and the NSC's working group, in accordance with established criteria and procedures.
- NSC members are also encouraged to actively participate in site visits and ongoing monitoring and evaluation activities associated with the MFF SGF and its projects, and to provide technical assistance and advice to MFF SGF projects and NGO/CBO project proponents.

NSC Appointment

1. Members of the NSC serve on a voluntary basis and without financial compensation. Reimbursement of reasonable and necessary expenses such as long-distance travel to project sites and NSC meetings may be provided. Reimbursement of expenses such as travel should be approved prior to the actual expenditure and follow standard MFF SGF procedures.
2. The NSC consists of representatives from NGO society / Civil Organizations, concerned government agencies and environment / community development experts from academic institutes who possess capacity to contribute to facilitating and enhancing the implementation of MFF SGF.
3. Members of the NSC are appointed by the UNDP Resident Representative in consultation with the National Coordinator.
4. The UNDP Resident Representative or his/her delegate, usually the UNDP Country Office MFF SGF focal point, represents the UNDP on the NSC.
5. The MFF SGF National Coordinator serves *ex officio* on the NSC, participating in deliberations, but not voting in the project selection process. The NC also serves as Secretariat to the NSC.

NSC Meetings and Rules of Order

6. The NSC meets at least twice a year to review and approve grant proposals and to conduct other activities within its terms of reference.
7. The NSC nominates a Chair from among its regular members, preferably by consensus. Neither the UNDP Resident Representative (nor his/her delegate) nor the MFF SGF National Coordinator may serve as the Chair. The Chair presides at NSC meetings in accordance with the rules of order which have been adopted, and facilitates the process of consensus-building in NSC deliberations. The position of Chair is not permanent and rotates every meeting.
8. Where possible, the NSC operates on the basis of consensus rather than formal voting. Specific procedures and rules of order for NSC deliberations, including voting procedures and quorum requirements, should be proposed by the National Coordinator and NSC members and adopted by the NSC prior to any substantive deliberations or determination.

9. Regular meetings of the NSC ordinarily include the following agenda items:
 - Report on status and progress of the MFF-SGF;
 - Status reports and updates on projects and activities in implementation;
 - Financial report on execution of grant allocation;
 - Presentation of project proposals for consideration
10. NSC minutes concerning meetings in which projects are approved should be as detailed and specific as possible, listing each project considered and including all NSC recommendations or observations about each project. The NSC decision about each project should be clearly noted, including any reformulations required before final approval. The list of approved projects should include the budget amount approved.
11. The NSC signs the signature page after each project recommendation meeting. Review of modified or adjusted proposals after being provisionally approved by the NSC is done on a no-objection basis, a formal meeting is not required.
12. Upon accepting appointment to the NSC, members commit themselves to ensuring the complete objectivity and transparency of the NSC, both in fact and in appearance. The NSC must avoid the appearance of self-dealing, conflict of interest, or undue influence. No member of the NSC shall participate in the review or approval of any project in which that member, or an organization with which that member is associated, has an interest. In such cases, the member shall be excused from both the discussion and decision on the project.

As a matter of principle, the NSC (and the MFF SGF as a whole) must operate in as transparent a manner as possible. The NC should maintain an official record of each NSC meeting, which is available to the public. However, in order to protect NSC members from external pressures, neither the identities of NSC members, nor the attributed statements of NSC members during deliberations, shall be disclosed.

ANNEX II

Annex 2.1

MFF SGF Selection Guideline

What is Mangrove For the Future (MFF)

Mangrove For the Future is a regional initiative involving six Indian Ocean countries that were profoundly affected by the Tsunami of December 2004. Each of the six countries has a strategy setting out its approach to the sustainable development of its coastal areas, with particular emphasis on improving living conditions of its coastal habitants, the establishment of resilient communities and the sustainable conservation and utilization of the natural resources that are a fundamental part of the development infrastructure.

What is MFF Small Grant Facility (SGF)

It is a corporate programme of MFF, implemented by United Nations Development Programme (UNDP). MFF SGF specifically aims to give grants to community based activities. Characteristics of MFF SGF projects are as follows:

- ❖ Involve community participation in their design, implementation and evaluation, and cooperation/ coordination from both public and private sectors in locality.
- ❖ Contribute environment benefits to integrated coastal resources management, community resilience to natural hazards, disasters preparedness, including adaptation to climate change impacts
- ❖ Include at least 50% of in cash/ in kind local/ national contribution and cost sharing by other stakeholders such as national government, local government other donors and NGOs and business sectors.
- ❖ Are consistent with community livelihood security with regard to consumption of natural resources, community capacity building and financial viability prompting community behavioral adjustment.
- ❖ Encourage the application/ replication of indigenous knowledge, observe traditional ways of life and promote participation from woman and youth groups in implementation of the projects.
- ❖ Are cost-effective estimated by sustained activities after project completion, by comparison of benefit in relation to budget, by comparison with other projects/ activities with similar objectives and by replicable of activities. In addition, project results must be explainable, describable, and measurable.

Who are eligible to apply for grants

Proposals can be submitted by Community-based organization, Non-Government Organization, Community Occupation Group and Tambon Administrative Organization which meet the following criteria:

1. Demonstrate a proven, or otherwise strong potential capacity to implement community-based projects in the fields of coastal rehabilitation, conservation and/or sustainable use of natural resources
2. Have a proven record of working with local communities in a participatory way.
3. Can demonstrate experience in project management and financial administration

Geographic focal areas

Two geographic focal areas are on the Andaman coast and the Gulf of Thailand coast. The Andaman coast ranges from coastal zones and islands of Ranong, Phang Nga, Phuket, Krabi with possible extension to Trang. On the Gulf of Thailand coast, the areas cover Chumporn, Surat Thani and Nakorn Si Thammarat.

Basic criteria

1. The SGF will have two categories of project funding:
 - small (< US\$ 10,000)
 - medium (< US\$ 25,000)

2. The maximum financial assistance provided by the SGF will be USD 25,000 per project. There is no project minimum.
3. For medium grants (USD 10,000 to 25,000) the NCB may first request a pre-proposal or concept paper, depending on the experience of the project proposer, or the nature of the project.
4. SGF project proposals with a budget request of less than US \$10,000 may be prepared in the local language without the need for translation into English.
5. The maximum period for a SGF project will normally be 18 months, and exceptionally 2 years.
6. Only after successful completion of a project (approved final technical and financial report), can the grantee apply for a second SGF project.
7. The SGF project proposal must be based on a participatory approach; it should show that the project (a) will not adversely affect the positions of the various stakeholders, (b) it seeks to harmonise with the needs, views, expertise and experience of local stakeholders and associate them with the management and (c) it is based, whenever possible, on a participatory approach.
8. Project proposals must explicitly integrate gender issues and/or address gender related concerns.
9. Funding will only be provided for projects in the priority coastal areas, based on the MFF National Strategy and Action Plan.

Potential eligible activities

- ❖ *Provision of alternative livelihoods and natural resources management for local and indigenous communities residing in the focal areas of marine biological diversity*
- ❖ *Promote innovative community based coastal rehabilitation, both from natural (Tsunami, coastal erosion) and man-made damage (shrimp farming and pollution).*
- ❖ *Build local capacity to implement sustainable development strategies, creating 'local ownership' and community networking.*
- ❖ *Create public awareness on environmental issues as an integral part of the project.*
- ❖ *Address livelihood, incomes, and equality and gender concerns.*
- ❖ *Demonstrate potential for replication or scaling-up, and co-financing.*
- ❖ *Create an impact on policy at National/State/District level with evidence-based information as decision support and demonstration of good practices.*

Annex 2.2: SGF Templates

Annex 2.2: SGF Project Proposals - Information on the proposing organization

NOTE: Please, fill in this form and send it with the pre - proposal

1. Project Title:

2. Name of organisation:

3. Address Details

Mailing address:

Telephone:

Fax:

E-mail (if applicable):

Can you be reached through the email of another organisation if necessary?

Website (if applicable)

Visiting address:

4. Mission and goals of your organisation:

5. Registration Status (including registration number):

6. Date of creation:

7. Staff:

- Number of paid staff
- Number of voluntaries
- Number of female staff (excluding secretarial and other support staff)

8. Contact person and project personnel:

- Contact person (name, professional background, and current function within NGO)
- Project personnel (for each member of the project personnel, indicate: name, professional background, and current function within NGO; for persons who do not currently work for the NGO, indicate in addition current employer, address, and function for this employer).

9. Requested financial assistance in USD:

10. Account number:

11. Bank address (including SWIFT-address or TELEX-number for payments):

12. Other projects already implemented or currently being implemented by your organisation in fields relevant to the programme (do not list proposed projects):

For each project indicate: project title, period of implementation, project leader, function of project leader in NGO, budget, donor, contact person within donor agency, and e-mail/fax of this contact person.

Other experiences (relief programmes or other involvements after tsunami for example)?

13. Please indicate here if your organisation is actively involved in a network. If so, please specify which network, since when you are a member and what your role is in this network.

14. Requested financial assistance in USD:

15. Account number:

16. Bank address (including SWIFT-address or TELEX-number for payments):

14. Please indicate here any necessary capacity building or training needs of your organisation.

15. References / referees

Please indicate here the name, function, address, telephone and e-mail with signature of an official (s) at the local government (at Tambon/District/or Provincial Level) who can be contacted for reference information.

<i>1. Name</i>	<i>Position</i>
<i>Telephone</i>	<i>Email</i>

<i>2. Name</i>	<i>Position</i>
<i>Telephone</i>	<i>Email</i>

Annex 2.3: Pre-proposals for Small Grant Facility Projects:

Before submitting a full project proposal, interested NGOs, CBOs and other eligible organisations may prefer to first submit a pre-proposal, or concept note; or a pre-proposal may be requested by the NCB. This gives the NCB and in-country secretariat the opportunity to assess if the project concept fits the MFF SGF criteria sufficiently well to suggest that the proposers should submit a full SGF project proposal.

Please note that an invitation to submit a full project proposal is not a guarantee that it will be financially supported by the Small Grants Facility

The following information should be provided (maximum 1 - 2 pages, excluding the "information on implementing organisations").

Project title:

Requested amount:

Project duration:

Geographic area of the proposed project (including geographical coordinates):

Project concept:

Where did the idea for the project originate from?

What is the problem to be solved / the situation to be improved?

What are the main causes of this problem/situation?

What current problems are likely to be worsened due to the impacts of climate change?

Which of these causes will the project address and what is the rationale behind this choice?

Are there other organisations working on the same/similar problems in the project area?

Summarise the planned project objectives, main activities, main results and outputs / deliverables?

Who will be the main beneficiaries of the project?

What indicators will be used to determine the project's success?

Relevance to the MFF criteria

How will the project relate to the MFF Programmes of work?

In what way does the project contribute to the restoration, sustainable management or conservation of coastal ecosystems?

What measures are envisaged to address the likely impacts of climate change?

Management structure:

How will the project be managed?

Other partners to be involved?

Budget: Approximate cost of the project?

Annex 2.A.3: Template for SGF Project Proposals

Proposal Summary Sheet (Should be attached with each proposal)

1. **Date of Proposal Submission**
2. **Project Title:** Should reflect the nature of the activities
3. **Project Site:** Exact location (village, province etc), District/State, Country
4. **Project Scale :** National/ regional
5. **Implementation agencies:** Name of Organization
6. **Implementing Partners, if any:**
7. **Authorized representatives from Implementing Agency/ies:** Name and designation of at least 1 person from the implementing agencies authorized to represent any transactions
8. **Project Objective:**
9. **Project start date:** DD/MM/YY
10. **Project duration:** In months, not exceeding 24 months
11. **Total project Cost:**
12. **Other donors/ co financing if any:**
13. **Brief Project description (with outputs)**

Full Proposal Template: The whole document should not exceed 12 pages.

- 1 **Project Summary:** a brief statement of the problem, objectives, activities, expected results and success criteria for the projects
- 2 **Introduction**
 - 2.1 **Rationale of the project:** Main problem, Issues to be considered
 - 2.2 **Context:** Geographical context: basic geographical data, climate, altitude, main ecological and socio-economic characteristics, maps; policy context: relationship to national policies; community context; analysis of the likely impacts of climate change
 - 2.3 **Description of project Area including map**
- 3 **Project Description (*)**
 - 3.1 **Main Objective:** Main Objective/s: the long-term target that the project will contribute to; and how does it contribute to MFF PoW's;
 - 3.2 **Immediate Objectives:** The objectives that the projects can achieve in its duration.
 - 3.3 **Outputs:** The expected outputs of each planned activity; including those to address the likely impacts of climate change
 - 3.4 **Activities:** The activities that will help to achieve the objectives
 - 3.5 **Time Frame:** Time required 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
- 4 **Proponent Description**
 - 4.1 **Organization Background:**
 - 4.2 **Capacity**
 - 4.3 **Prior experience in the related projects**

- 5 **Target group and local community participation:**
 - 5.1 **Target group beneficiaries**, that would be benefitting from the expected results; highlight the livelihood benefits
 - 5.2 **Livelihood linkages**: How does project contribute to sustainable livelihood? (If not covered in 4.1)
 - 5.3 **Local participation** : Participation of local stakeholders including women and specific disadvantaged group if any in the project planning and implementation
 - 5.4 **Gender Issues**: How are gender issues and differences taken into account and integrated into projects? Special attention should be paid to differences between men and women with respect to: access to and use of resources, means of production and credit, generation and use of income, participation in decision making.
 - 5.5 **Adaptation to Climate Change**: What activities will ensure that the likely impacts of climate change and climate variability will not undermine interventions to address other problems?

- 6 **Project Management, Monitoring and Evaluation**
 - 6.1 **Management**: How will the project be managed (institutional structure, other organisations involved?) If other organizations are involved, describe the responsibility of each partner and how they will work together to achieve the project objectives.
 - 6.2 **Indicators**: What are the indicators for monitoring and evaluation of the project activities by your organisation (these should be directly derived from the expected results mentioned under 3.3; they should also include the “Problem Reduction Assessment”)?
 - 6.3 **Methodology**: How and when will the internal monitoring and evaluation take place?
 - 6.4 **Attach the “Problem Reduction Assessment” baseline forms**

- 7 **Continuation of project activities** : Exit strategy/ Phase-out mechanism and how project results will be sustained after the funding ends?

- 8 **Budget****: Create a detailed budget (see table below). Also list any contributions from the project proposers and partners, even if these are only in-kind.

*** Project Description:**

For project description, please use the following table in Logical Framework form:

Main Objective:
Immediate Objectives: 1.0 One of the Immediate Objectives that the project will achieve.
Output 1.1: One of the outputs that contributes to achievement of Objective 1
Activity 1.1.1 : One of the activities that contributes to output 1.1.
Activity 1.1.2 : Another activity that contributes to output 1.
.....
Output 1.2: Another output that contributes to achievement of Objective 1
Activity 1.2.1: One of the activities that contributes to output 1.2.
Activity 1.2.2 : Another activity that contributes to output 1.2
.....
Immediate Objectives: 2.0 One of the Immediate Objectives that the project will achieve.
Output 2.1: One of the outputs that contributes to achievement of Objective 2
Activity 2.1.1: One of the activities that contributes to output 1.1.
Activity 2.1.2: Another activity that contributes to output 1.
.....
Output 2.2: Another output that contributes to achievement of Objective 1
Activity 2.2.1: One of the activities that contributes to output 1.2.
Activity 2.2.2: Another activity that contributes to output 1.2

Time frame (Example)

Activities	2008												2009				
	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M
Activity 1.1.1																	
Activity 1.1.2																	
—																	
Activity 1.2.1																	
Activity 1.2.2																	

****Budget Note:** Please use the following table to show the total cost and amount requested from MFF

Budget Item	Total cost	Amount requested from MFF	Amount from proponent	Amount from other partners
Activity 1.1.1				
Activity 1.1.2				

Activity 1.2.1				
Activity 1.2.2				
Activity 1.1.1				

Annex 2.A.4: Format for Progress report:

1. Progress towards outputs:

Note:

The length of this report should not exceed 5 pages.

Please tick one of the boxes to show the status of your outputs

The progress report should be cumulative, for example the second progress report should cover the project period from the date of commencement up to that date and not the period from first progress report.

List the outputs and activities that your organization was supposed to achieve during this period, and give the progress status.

List of Objectives and Activities	Achieved	Progressing as expected	Progressing with minor delays	Progressing with major delays
Output 1.1				
Activity 1.1.1				
Activity 1.1.2				

Output 1.2				
Activity 1.2.1				
Activity 1.2.2				

2. Comments on Progress towards outputs and objectives:

Here indicate the project progress in general, reasons for delays and how you will overcome that. Mention if there are any differences between the planned activities and actual activities and give the reasons for that.

3. Involvement of communities, local governments and other relevant stakeholders

List the number of meetings and consultations held during this period. Describe briefly the feedback from stakeholders and how that was incorporated in the projects.

4. Constraints and Challenges:

List, if there are any constraints and challenges that are affecting the progress towards outputs. How are you going to solve them?

5. Any change in context or any major events?

Annex 2.A.5: Format for Final technical report:

- Notes: 1. The length of this technical report should be about 10 pages. If you want to submit additional information, please add them in annexes.
 2. The report should take into account all the outputs and impacts for the entire project period completed so far and not just from the last progress report.

1. Important details

- Project Title:
- Project Number:
- Project duration: (Start Date and End date)
- Project Budget:
- Budget provided by MFF:
- Name of Organization:
- Contact Details: (Including telephone number and email address)
- Report Submitted by: Name and Position
- Date of Report Submission:

2. A brief background of the project

Not more than one page: Summarize the context and the problem in your project area.

3. Summary of Project Outputs/Results and Impacts

(Not more than 2 pages)

4. Achievement of Objectives and Outputs

Complete the table below. Were the project's stated objectives and outputs achieved, not achieved or partially achieved? Mention the indicators used to assess the achievements. Give the reasons for partial or no achievement.

Objectives and Outputs	Status A= Achieved, N= Not achieved, P= Partially Achieved	Indicators: Change in Indicators to support your assessment	Reason for Partial/ Not Achieved Status
Objective 1 (State your objectives)			
Output 1.1 (State your outputs)			
Output 1.2			
.....			
Objective 2			
Output 1.1			
Output 1.2			
.....			

Also, attach the final and any intermediate "Problem Reduction Assessment" forms.

5. Comments on Objectives and Outputs:

Use this section to elaborate on:

1. The extent to which the achievement of outputs and objectives have contributed to meeting the overall long-term objective of the project.
2. To elaborate more on the circumstances that resulted in partial/ non achievement.
3. To elaborate on unforeseen challenges and opportunities, if any and they were addressed.
4. To reflect on the logical links between objectives, results and activities (carrying out the planned activities may not always lead to achieving the stated outputs and achieving the outputs does not guarantee that the objectives are met).

6. Summary of Activities completed:

Outline the activities completed, including those to address the likely impacts of climate change and climate variability. Were there any changes in the planned activities and the actual activities? If yes, please explain. Was it necessary to undertake any activities that were not planned?

Explain if there were any major delays

7. Major constraints and challenges

Please mention if there were any constraints and challenges in completing activities. Also mention if there were any positive or negative changes in circumstances that affected the activities or outputs/outcomes (example: political in/stability, natural, presence of other organizations doing similar works that you had not foreseen etc.)

8. Lessons learnt

Please outline the lessons learnt from this project. The lessons learnt should reflect both technical lessons and the management lessons. If you were to do this project again, what would you improve?

9. Policy recommendations, if any

For specific recommendations to policy makers.

ANNEX III

MFF-SGF Scoring Sheet

Project	1st Criteria Clarity on Activities/Expected Results (30 points)	2nd Criteria Clarity on Co- financing (30 points)	3rd Criteria Upscaling Potential (20 points)	4th Criteria Appropriateness of Budget Allocation (20 points)	Total	General Comments (by Key Word)
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
						Signature
						date