

Cambodia Climate Change Alliance

Annex A: Guidance Notes on Concept Note

- 1) CCCA Trust Fund requires applicants to first submit a Concept Note as an outline proposal. The objective is to allow applicants to submit a short outline for preliminary review without the need to invest in preparing a fully-fledged proposal.
- 2) It is important that the concept note clearly demonstrates the **relevance** of the project to the focus of the specific Call for Proposal and that the project concept is developed in close collaborations with partners.
- 3) Where multiple organizations are involved in the project implementation, it is important to clearly demonstrate the **management arrangements** among the partners, so that reviewers have a clear understanding of responsibilities of each organization and arrangements to be established among them.
- 4) Applicants and their partners need to be aware that the acceptance of a concept note and an invitation to prepare a more detailed proposal by the CCCA Trust Fund are not guarantees that their proposals will be funded.
- 5) The concept note should be as **concise** as possible and should not exceed 5 pages (excluding attachments). Concept notes should be prepared following the format presented in this annex.
- 6) Submission of the concept note needs to include **all required attachments**.

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Concept Note template

I. General Information

Date of Submission	
Grant Window # (see Call for Proposals)	
Proposal # (to be filled out by CCCA Trust Fund Secretariat)	

II. Applicant Information*

Name (full and acronym)	
Address	
Email	
Website	
Telephone #	

*Applicant is the "lead" organization that will be responsible for overall project management and contractual obligations. Please fill in information on partners in the Attachment 2.

III. Project Information

Project Title	
Status	New project or existing project
Project location	
Level of proposed intervention	e.g. National, sub-national, community ...
Partners	

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Proposed duration	
Total Project budget (in US\$)	
Amount requested to CCCA Trust Fund	
Co-financing (in cash or in-kind)	

IV. Project Description

Note: For this section, there is no need to provide fully elaborated paragraphs (this will be required in the full Project Proposal). It is however important that key ideas and information are provided in few lines. Applicants may use bullet points to present their ideas under each heading.

1. Problem Statement

A brief description of the problems, needs or opportunities to be addressed.

What has been done already to address them and justify why the project is necessary.

Refer to relevant priorities of the Cambodian Government.

2. Objectives

Present key objectives of the proposed project.

3. Beneficiaries

Name the target beneficiaries of the project and their location(s).

4. Key activities

List the activities that the project is expected to implement.

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If multiple partners are involved, indicate which partner is implementing which activity.

5. Expected outputs

List the expected outputs of the project activities.

6. Impacts

Briefly state what impacts the project aims to attain.

7. Risks

List possible difficulties and problems that may be encountered in implementing this project and propose remedial actions.

8. Monitoring & Evaluation

Briefly describe how results will be monitored, tracked and evaluated.

9. Management Arrangements

Briefly describe how the project will be managed.

Indicate the roles and responsibilities of the applicant and its key partners, specific components of the project they will implement and how the applicant will engage partners (contractually) and disburse funds to partners.

Applicant may want to include a simple diagram showing the relationships among different partners/components (optional)

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10. Coordination

Briefly explain synergies and coordination with existing initiatives.

11. Approach

Briefly describe the innovative aspects of the proposed project. Explain whether this is piloting of a new approach or up-scaling of a proven approach or both. What lessons learned from past projects or other places/countries are being reflected in the project design.

12. Sustainability

Briefly explain the strategy for sustaining the impacts of this project.

V. Budget Summary

Provide a budget summary using the table provided below and indicate the amounts covered by applicants' own funds, partners or other donors under "Other funds" column.

Budget amounts should be expressed in US\$.

Budget category	Requested from CCCA	Other funds	Total
Personnel			
Travel			
Contractual Services			
Workshops, meetings			
Equipment			
Outreach			
Miscellaneous			
Audit			
Total			

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VI. List of Attachments

All applicants must include Attachments 1 and 2 when they submit the Concept Notes. Applicants should review whether information requested under Attachments 3, 4 and 5 are relevant to their projects. If yes, please include them in the submission.

Attachment 1: Workplan

Attachment 2: Eligibility Profile

Attachment 3: Partners information

Attachment 4: Request for Preparation Support Grant

Attachment 5: A copy of registration with the Cambodian authorities (for NGOs only)

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Attachment 1: Workplan

Output	Activities (List key activities including M& E activities)	Responsible Parties	Timeframe (this could be divided into months or quarters, depending on the duration of the project)											
			X	X	X									
			X	X	X									
				X	X	X								
			X	X										

Note) this is a sample and applicants can use their existing workplan format if it provides activity-level scheduling

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Attachment 2: Eligibility Profile

A. Type of Organization (Choose from the list)

Government institutions (state which ministry)

Civil Society Organisation

Academic/Research Institution

UN Agency

B. Areas of expertise

C. Year of establishment, number of staff

D. Vision and Mission Statements

E. Affiliations (in case of non-governmental organizations)

F. Organizational structure (provide an organizational chart with names and positions)

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G. CCCA Focal point

In case of Government institutions, provide name(s) and title(s) of the staff appointed as CCCA Focal point, or as member/s of the institution's climate change unit.

H. Experience

1) Projects related to Climate Change

List the projects implemented during the last 5 years and provide the following information.

Project Name:

Budget (US\$):

Donors:

Location(s):

Duration:

Objective:

Status (ongoing or completed):

2) Other non-Climate Change projects

Same as 1).

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Attachment 3: Partners information

Please provide for every implementing partner as applicable:

Name of Organisation	
Address	
Website	
Expertise	
Name of Contact Person	
Title	
Telephone	
Email	
Contributions to the project*	
Role**	

*Please indicate contributions made by the implementing partner to this project (in cash or in kind)

** Please indicate the role that this partner will play in this project

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Attachment 4: Request for Preparation Support Grant

Applicants may decide that additional support is required for the preparation of a full Project Proposal (after the Concept Note is approved in principle by the CCCA Board).

CCCA Trust Fund will make available up to US\$20,000 for supporting the applicants in preparing a full Project Proposal, upon request from the applicants.

CCCA Trust Fund encourages applicants to first review the template for the full Project Proposal (provided as Annex B to the Grants Application Guidelines) to understand the specific information that are being required.

If the applicants believe that they will require additional support, please provide the information below in a letter of request and include this in the submission of the Concept Note.

Submission of this questionnaire will not in any way affect the evaluation of the Concept Note.

NCCC Secretariat will contact the applicants to discuss how the support will be provided based on the letter of request provided.

Request for Preparation Support Grant

Name of Applicant:

Type of Support required (choose from below) :

- Support to prepare writing of the full Project Proposal in English
- Support to translate the full Project Proposal from Khmer to English
- Support to conduct a basic assessment/survey to collect data for the project
- Support to conduct a workshop with beneficiaries and stakeholders to discuss project formulation
- Others (please specify)

Does your organization have the capacity and systems to procure the required services?

- Yes
- No

Please provide a budget for the Preparation Support Grant based on what you require.

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Annex B: Guidance Notes on Project Proposals

- 1) Applicants will be required to prepare a full Project Proposal by invitation only (after the Concept Notes are accepted).
- 2) It is important that the Project Proposal clearly demonstrates the strong rationale for the project activities as well as highlights the capacity and experience of the organizations delivering the project.
- 3) Where multiple organizations will be involved in the project implementation, it is important to clearly demonstrate the **management arrangements** among the partners, so that reviewers have a clear understanding of responsibilities of each organization and arrangements to be established among them.
- 4) Applicants and its partners need to be aware that the funding is not approved until the Board gives its endorsement and the final project document is finalized between the applicant and the NCCC Secretariat.
- 5) The Project Proposal should be prepared according to the format presented in this annex.
- 6) As guidance, the length of the Project Proposal should be between 10-15 pages excluding the attachments.
- 7) In case where the applicant is not a Government institution, the applicant must secure a **Request Letter with endorsement of the proposal** from the partner Government institution and submit it together with the Project Proposal.
- 1) Submission of the Project Proposal needs to include **all required attachments** (see IV. List of Attachments).

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Project Proposal template

I. General Information

Date of Submission	
Grant Window # (see Call for Proposals)	
Proposal # (to be filled out by CCCA Trust Fund Secretariat)	

II. Applicant Information*

Name (full and acronym)	
Address	
Email	
Website	
Telephone #	

*Applicant is the "lead" organization that will be responsible for overall project management and contractual obligations. Please fill in information on partners in the Attachment 2.

III. Project Information

Project Title	
Status	New project or existing project
Project location	
Level of proposed intervention	e.g. National, sub-national, community ...
Partners	

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Proposed duration	
Total Project budget (in US\$)	
Amount requested to CCCA Trust Fund	
Co-financing (in cash or in-kind)	

IV. Executive Summary

In a clear and concise manner (3 paragraphs), provide a general overview of the project including;

- problem(s) the project is attempting to address;
- project objective(s)
- expected results and key activities
- main intended beneficiaries etc..

V. Project Description

1. Project Justification

This section should provide the background to the project and the approach used.

An indicative list of questions or issues this section is expected to address:

- What are the key features of the project's operating environment in terms of climate change challenges faced by Cambodia and the capacity to address these challenges?
- What problems does the project aim to address? What specific assessments have been made?

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- What are the key objectives of the project? How do the proposed outputs and activities help solve these problems?
- How does the project fit with the existing national strategies/priorities?
- How does the project relate to existing national structures and how will it contribute to capacity building of national institutions? How is capacity built to ensure transfer of relevant responsibilities to the national structures?
- What experience does the applicant (and its partners if any) have of working on this issue in Cambodia or other places in similar situations?
- Who are the main beneficiaries and how will they benefit from the project? Who are the other stakeholders and what will they gain? How will the stakeholder participation be handled?
- Will the beneficiaries of the project participate in its development and delivery? If so, how?
- Who are the project partners? What are the roles of partner organizations and their importance to the success of the project?
- How are the needs of men, women, boys and girls considered? Are the needs of particularly vulnerable and marginalized groups addressed? How?
- Were any alternative approaches considered to the ones proposed? Why were they not adopted?
- What lessons have been learned from previous experience in this area or type of project?
- Does the project replicate a proven approach? How does it build on previous efforts?
- Is the project a piloting of a new approach? How is it new and why it is promising?
- How will the project be coordinated with other ongoing or planned projects?
- What is the sustainability strategy for the project?

2. Results Framework

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Present the details of the project in the format presented as Attachment 1.

3. Project Workplan

Present a detailed workplan which clearly shows the activities in each of the different steps and responsible parties for each activity (in case where multiple organizations are involved)

- Project design & formulation
- Project Preparation
- Project implementation
- Project closure
- Post-project follow-ups

4. Management Arrangements

Give a description of project implementation arrangements including responsibilities of the applicants and other project partners including;

- The project implementation and supervision arrangements; in-country and overseas based capacity of the lead organization (applicant) including length of presence and staff; indicate names, track record and expertise of the partners;
- The roles of each organization in this proposed project;
- The line ministry/Government agency counterparts and extent of cooperation;
- Management structure and brief Terms of References of key positions (Project Coordinator, Finance Officer, Technical Advisors/Consultants etc...);
- How finances will be arranged between the applicant and its partners;
- How reports will be compiled and submitted to CCCA Trust Fund;

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Provide a diagram which clearly presents the relationships among partners and the key positions. Clearly distinguish between the on-the-ground capacity and remote capacity (in case of international organizations).

If applicants are non-government entities, they are requested to provide the **latest audited financial statement** as well as the **latest Annual Report** together with the Project Proposal.

5. Monitoring and Evaluation

Applicants and its partners must monitor the project activities.

Describe the system used for project monitoring (including financial tracking and audit), quality management (including lessons learning and corrective actions) and impact assessment; the methods for data collection and analysis and responsible parties for monitoring activities.

All baseline data must be collected prior to the commencement of the project and reflected in the Results Framework. If certain baseline data are missing in the Results Framework, explain why and how the collection of data will be conducted.

6. Analysis of risks and assumptions

Applicants should identify major risks to the project in the Results Framework.

For each of the risks identified;

- Assess their likelihood and impact of occurrence;
- Indicate options considered and the steps taken in project design implementation to address, minimize or mitigate the potential risks;
- Mention any undertakings or agreements made with partners which impact on project implementation; indicate how the observance of these undertakings will be monitored; indicate the implementations of non-compliance.

7. Communications

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How will the message of the project be disseminated to target beneficiaries and stakeholders? How will project partners network and share information with others engaged in similar efforts?

How will the success stories and knowledge gained from the project be shared between project partners and the CCCA (as the donor)? How can the project help raise profile of the CCCA?

8. Project budget

Present the project budget in two formats provided as Attachments 2 and 3.

Applicants are also requested to provide;

- Details of external donors in relation to this project, if applicable (including donor's name and amount contributed).
- Information on any funding that is being sought but not yet secured at the time of the project proposal preparation.
- Details on contributions (either in-cash or in-kind) made by the applicant and/or project partners.
- Letters/documents which serve as proof for co-financing.

VI. List of Attachments

Applicants must review the list of attachments below and determine which ones are applicable to their projects. Please inquire the NCCC Secretariat if a clarification is required.

Templates are provided for Attachments 1 to 4.

Attachment 1: Sample Results Framework

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Attachment 2: Budget (Inputs based)

Attachment 3: Budget (Organisations based)

Attachment 4: Budget (Result-based)

Attachment 5: Government endorsement letter

Attachment 6: Latest audited financial statements of the applicant and the latest
Annual Report (for non-government entities)

Attachment 7: Brief CV of the Project Coordinator and person in charge of
accounting for the project funds.

Attachment 8: Brief terms of references for all consultants to be hired by the project.

Attachment 9: Document/letter showing proof of approved co-financing

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Attachment 1: Sample Results Framework

Project Title:

Project Objectives:

Expected Result(s) :

Result Indicator(s): (Qualitative or Quantitative)

Outputs	Activities	Baseline & Targets	Objectively verifiable indicators	Sources and Means of Verification	Assumptions/Risks
	- - - - -				
	- - - - -				
	- - - - -				

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Attachment 2: Budget (Input Based)

Provide a breakdown of the project budget by inputs as presented in the Excel template.

Add as many lines as necessary.

Budget line description	Unit	Quantity	Total in US\$	Amounts budgeted under CCCA	Co-financing
Personnel Expenses					
<i>International Consultants (figures stated as example)</i>	300.00	25.00	7,500.00	5,000.00	2,500.00
<i>National consultants</i>					
Sub-total					
Travel					
<i>International travel</i>					
<i>Local travel</i>					
Sub-total					
Contractual Services					
<i>Services contract with X for translation</i>					
Sub-total					
Workshops, meetings, training					
<i>Inception workshop for 50 participants</i>					
Sub-total					
Project Equipment					
<i>Desktops</i>					
<i>Printer</i>					
Sub-total					
Advocacy/Outreach					
<i>Brochure</i>					
<i>Banners for national conference</i>					
Sub-total					
Miscellaneous					
<i>Supplies</i>					
<i>Communication charges</i>					
<i>Fuel for project vehicles</i>					
<i>Audit</i>					
Sub-total					
TOTAL PROJECT COST					

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Attachment 3: Budget (Organisation based)

DETAILED PROJECT BUDGET BY ORGANISATION IN US DOLLARS

Present costs for each Organisation. Add as many lines as necessary.

Budget line description	Total in US\$	Amounts budgeted under CCCA	Co-financing
Personnel Expenses			
Organisation A			
Organisation B			
Sub-total			
Travel			
Organisation A			
Organisation B			
Sub-total			
Contractual Services			
Organisation A			
Organisation B			
Sub-total			
Workshops, meetings, training			
Organisation A			
Organisation B			
Sub-total			
Project Equipment			
Organisation A			
Organisation B			
Sub-total			
Advocacy/Outreach			
Organisation A			
Organisation B			
Sub-total			
Miscellaneous			
Organisation A			
Organisation B			
Sub-total			
TOTAL PROJECT COST			

**CCCA Trust Fund
2011 Grant Application Guidelines**

Version 1 (February 2011)

Introduction

This document seeks to provide information and guidance to prospective applicants to the CCCA Trust Fund. The purpose is to assist the applicants in preparation of application documents and to help the Fund select and support the best projects in conformity with the guidance of its Board.

The Guidelines will include:

- Eligibility Criteria
- Review & Approval process
- Review criteria
- Contact Details for inquiries
- Guidance and templates for Concept Notes and full Project Proposals

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1. What are CCCA and CCCA Trust Fund?

Cambodia Climate Change Alliance (CCCA) is a comprehensive and innovative approach to address climate change and disaster risks in Cambodia. It is a multi-donor initiative funded by EU, Sida, Danida and UNDP. It is anchored in the government's **National Climate Change Committee (NCCC)**, a mandated Government coordinating and policy support entity for all aspects of climate change.

CCCA Programme works towards the following overall objective;

Climate Change activities in Cambodia are nationally owned, led and aligned with Cambodia's development priorities, and are effectively coordinated and implemented.

Further, CCCA Programme identified **three key results** to be achieved;

- 1. National Climate Change Committee (NCCC) capacity to coordinate national policy making, capacity development, and outreach/advocacy efforts, and to monitor the implementation of national climate change strategy is strengthened.*
- 2. A platform is established and in operation providing Cambodia with updated knowledge and learning opportunities on Climate Change.*
- 3. Key line ministries, agencies and civil society organizations have access to financial and technical resources to design, implement and monitor climate change adaptation interventions.*

CCCA Trust Fund has been established within CCCA as a unified engagement point for development partners and a multi-donor financial facility to provide resources for climate change capacity building at national and local government level. UNDP acts as the interim Trust Fund Manager.

Decisions on funding, and other policy and operational matters will be made by a Programme Support Board (PSB).

Capacity building and institutional strengthening for climate change adaptation is a major element of the CCCA initiative. Grant funding for approved interventions will be provided on demand basis. Calls for Proposals will be launched to solicit interests from eligible organizations.

The current phase of CCCA Trust Fund ends on 31 December 2012. It is envisaged that the current multi-donor initiative will be substituted by country systems, possibly government managed trust fund or direct budget support, in a later phase.

2. Eligibility Criteria

2.1 Eligible Activities

CCCA Trust Fund is designed for providing funding in general accordance with the following:

1. Projects/activities aimed at capacity development and institutional strengthening in support of the priorities and actions identified in the National Adaptation Plan of Action ("NAPA"), the National Strategic Development Plan Update 2009-2013, etc
2. Projects/activities which will facilitate and ensure integration of climate change considerations into sectoral and national policy, strategy, plans and programmes.
3. Projects/activities which will raise awareness and preparedness in Governments and the broader society on the challenges and opportunities of climate change and how to adapt to the consequences of climate change.
4. Projects which will contribute to establishment and operation of a Climate Change Knowledge Management and Learning Platform.
5. Projects which will in other manners support capacity building within the framework of CCCA Programme.
6. Projects that will help facilitate access to incremental sources of funding for Climate Change adaptation and mitigation.
7. Activities to raise visibility of the Trust Fund itself to Government and the broader Community of Practice, and potential donors.

Priorities

For projects to be eligible for funding, they must respond to **national priorities** that are articulated in existing Government documents such as the NSDP-Update and NAPA.

In 2011, CCCA Trust Fund will consider support to;

- 1) Project must have a strong focus on institutional strengthening of Government bodies at national and/or sub-national level in the following sectors: **Agriculture, Forestry, Fisheries, Water resources, Meteorology, Health and Infrastructure**

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- 2) Project could propose field demonstration activities that promote climate change resilience in the above-mentioned sectors.

Geographical areas

The CCCA will target areas, on the basis of geographic region or eco-system type, which are identified as highly vulnerable to climate change according to analysis presented in the draft Second National Communication (SNC) and NAPA.

2.2 Eligible organizations

In principle, CCCA Trust Fund accepts proposals from;

- Government institutions
- International organisations
- NGOs
- Research institutions/universities

Please note that following conditions apply;

- 1) Government entities must first establish appropriate coordination mechanisms including a designated climate change focal point.
- 2) National universities will be considered as Government institutions.
- 3) International organisations, NGOs, and research institutions/universities are required to enter into **partnership** with relevant Government institution(s) to be eligible applicants.
- 4) CCCA Trust Fund is unable to fund non-governmental organisations that are not registered with the relevant authorities in Cambodia.
- 5) Applicants must be able to satisfy the condition for indirect costs as expressed under 2.5 below.
- 6) Organization selected for funding from CCCA Trust fund shall enter into an agreement with UNDP and must comply with the applicable rules and procedures required by UNDP.

Note) Proposals involving multiple partners must clearly indicate which organization will take the lead responsibility for project management and contractual obligations.

2.3. Eligible costs

Eligible costs are those that are required for carrying out the project activities and are incurred by the applicant and their implementing partners.

They must;

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- Comply with the principles of sound financial management, in particular value for money and cost effectiveness;
- reflect market prices; and
- be recorded in the applicants' accounts, be identifiable and verifiable and be backed up by original supporting documents

2.4 Ineligible activities/costs

CCCA Trust Fund does not provide support for;

- Activities taking place outside of Cambodia
- Stand alone research or data collection that does not clearly address CCCA priorities
- Ongoing general operating expenses
- Capital costs
- Salaries of civil servants and core office staff
- Direct support to individuals
- Fundraising events
- Political campaigns or activities
- Interest owed, debt and provisions for losses
- Purchase of land
- Tax and duty
- Contingency reserve

Note) Costs of international travels for consultancy may be included but should be well justified.

2.5 Note on Indirect costs

Indirect costs are those costs that are not easily identifiable as exclusively related to a particular project but are necessary to conduct the project activities.

CCCA Trust Fund does not accept indirect costs as a lumpsum or a flat percentage applied to the project budget. Applicants are requested to itemize such costs and present them as direct costs to the project.

3. Types of Support / Co-financing requirement

CCCA trust fund provides complete or partial funding to activities in the following ways:

- Full financing of a new project

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- Co-financing of a new project
- Financing of new component(s) within existing projects

Any type of co-financing, whether in cash or in kind, is encouraged and will be taken into considerations in the review.

Applicants will be required to declare other sources of funds provided or anticipated for the same project.

4. Grant Size and Duration

For 2011-2012 period, CCCA Trust Fund will in principle provide up to **US\$300,000** per grant. However, if a Civil Society Organisation¹ is the applicant in the partnership with a Government entity, the maximum grant amount is US\$150,000 for an individual project.

It is possible for an applicant to propose more than one project in response to a single Call for Proposal. However, the absorption capacity of the applicant will be reviewed carefully.

In all cases, all projects have to be fully closed before the end of the current phase of the CCCA Trust Fund which is 31 December 2012.

5. Call for Proposal (CFP)

CCCA Trust Fund may launch CFP at any time subject to availability of funds.

Each CFP will contain:

- Priorities
- Eligibility & Review criteria
- Maximum amount for each project
- Co-financing requirement
- Information on how to apply
- Timetable

FP will be launched in suitable national and English newspaper published in Cambodia.

¹ CSO encompasses a wider range of formal and informal organizations engaged in development work: NGOs, community based organizations (CBOs), indigenous peoples' organizations (IPOs), academia, for example.

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CCCA Trust Fund accepts documents prepared in English and Khmer.

6. Project Review and Approval Process

The project review and approval process will consist of two stages. Here are the related activities under each round and indicative timelines. (Figure 1 on Page 9 summarises the steps involved).

Stage 1. Concept Notes

<Call for Proposal to Submission of Concept Notes: Weeks #1 -3>

In response to the CFP, applicants will develop and submit a brief Concept Note to the NCCC Secretariat. For guidance on how to prepare a Concept Note, see Annex A.

<Concept Note Review: Week #4>

The NCCC Secretariat will perform an **administrative review** of the concept notes. Concept Notes will not be considered if:

- The application is incomplete;
- The applicant is not eligible; or
- The application was received after the announced deadline

At this stage, no notifications will be sent to applicants.

A substantive **technical review** of the quality of concept notes, including the soundness/relevance of project concept will be carried out by an expert panel in accordance with the pre-defined review criteria.

At this stage, projects will not be considered if:

- The project proposed does not correspond with the priorities identified for the Call for Proposals.

<Approval in Principle by Board: Week #5>

Projects that have been recommended for full project proposal development are submitted to the PSB for “approval in principle”. All applicants will be informed about their status at this point in time.

Those applicants that are invited for project proposal development may receive additional support through “**Preparation support grant**” to assist them in developing a full project

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proposal (e.g. feasibility/project preparation/scoping study).

The maximum amount allowed for this activity is US\$20,000 per proposal. The request for this grant should be included in the Concept Note submission. (See Annex A for details).

Stage 2. Full Project Proposal

<Preparation of Project Proposal: Weeks # 6-12>

Applicants invited to submit a full proposal will be given additional information or technical assistance from the NCCC Secretariat to strengthen the proposal, which may include reviewers' feedback/comments on their Concept Notes.

For guidance on how to prepare a full Project Proposal, see Annex B.

<Project Proposal Review: Weeks #13-17>

The NCCC Secretariat will perform an **administrative review** of project proposals. If submission is incomplete, the applicant will be contacted to quickly provide the missing information. Extended deadlines may be granted by the NCCC Secretariat on an exceptional basis, to especially complex projects.

An extensive **technical review** of project proposals, covering financial, technical and management aspects will be carried out by an expert panel in accordance with the pre-defined review criteria.

Should the panel decide that additional information is required, applicant will be contacted to provide the necessary information within a certain timeframe.

On case-by-case basis, NCCC Secretariat may conduct a **verification/site visit** as part of the review process.

<Final Approval by Board: Weeks #18-19>

Projects that are recommended for funding are submitted to the PSB. The PSB may approve "in principle" and instruct the NCCC Secretariat to work further with the applicants to finalise the project proposal. The finalized document will become the "Project Document" and will be annexed to the contract (i.e. Letter of Agreement).

Final approval of the project will only be granted after a detailed negotiation and clearance of the Project document by the NCCC Secretariat .

All remaining organizations will also be informed about the status of their application.

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The entire project review and approval process may take **4 to 5 months**. (Note: Review time will vary depending on the number of submissions received and scope/complexity of the project).

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Figure 1: Project Review and Approval Process



Launch of Call for Proposal (NCCC Secretariat) Develop Concept Notes (Applicants)	Administrative Review (NCCC Secretariat) Technical Review (Expert panel)	Approve the recommended Concept Notes in principle (CCCA PSB) Approves "Preparation Support Grant" (CCCA PSB)	Develop Full Project Proposal (Applicants)	Administrative Review (NCCC Secretariat) Technical Review (Expert panel) Verification Visits (Optional by NCCC Secretariat)	Approve the recommended projects in principle (CCCA PSB)	Finalise the Project Document (NCCC Secretariat and Applicant) Negotiate the LoA (UNDP and Applicant) Conduct Micro-Assessment of the grantee (UNDP)	Authorise signing of Letter of Agreement (LoA) and transfer of funds (Government) Sign LoA (UNDP and Applicant) Transfer funds (UNDP)
3 Weeks	2 Weeks	1 Week	6 Weeks	4 Weeks	2 Weeks	4 Weeks	


 1 week for re-submission of proposals (if required)

7. Review Criteria

Specific and relevant review criteria will be established for each Call for Proposal.

In general, the CCCA Trust Fund will appraise projects based on the criteria including (but not limited to) the following:

- **Strategic Alignment:** Proposals should demonstrate alignment and linkages to the key national climate change strategies. In particular this will include clear linkages with priority actions with regards climate change identified in either NAPA, NSDP-update or NCSA ².
- **Partnership/Stakeholder participation:** Proposal should identify all the relevant partners and stakeholders and demonstrate their involvement in project design, decision-making and implementation.
- **Organisational capacity:** Applicants and partners must have a demonstrated capacity to implement the projects in the timeframe proposed. Where capacity is lacking, the proposal must describe the measures that will be taken to redress this gap. If the applicant is proposing implementation together with partner(s), quality and relevance of partnership will also be evaluated. Consideration will be given to the **on-the-ground capacity** of applicants and partners and their potential to add value.
- **Commitment:** Proponents should demonstrate their commitment to implement the activity and cooperate with CCCA partners.
- **Targeting beneficiaries:** Proposal should clearly define who the target beneficiaries are, how they are selected and are involved in project design and implementation.
- **National ownership:** Proposal should clearly demonstrate how it secures or promotes national ownership in project implementation.
- **Capacity Development:** Proposal should have concrete built-in plans to develop local capacities and strengthen national institutions.

² National Capacity Self-Assessment and Action Plan for Biodiversity, Climate Change and Land Degradation, 2007

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- **Cross-cutting issues:** Proposal should clearly demonstrate how needs of different genders, age groups and vulnerable groups are reflected in design and implementation. Proposed activities should also establish linkages with **disaster risk reduction** and **poverty reduction**.
- **Innovation:** Applicants should demonstrate how their proposed activities are innovative, how they build on lessons learnt from past projects, and how new lessons will be identified and communicated.
- **Sustainability:** Proposed project should demonstrate how it will continue to yield benefits beyond the period of the funding and the extent to which it can be sustained by national mechanisms. If the project is proposed as a pilot, the potential **replicate** and **scale up** efforts should also be articulated.
- **Cost effectiveness:** Costs should be reasonable for the activities proposed, taking into consideration the scale of the problem addressed.
- Clear presentation of activities, outputs/impacts, a strong M& E plan, risk analysis and realistic budget estimation.

8. Grant conditions

Successful applicants who are awarded grants (“Grantees”) will receive notification by the NCCC Secretariat and will be provided with a copy of “**Grant Implementation Guidelines**” which contains guidance on how to implement grants in accordance with CCCA requirements.

Finalisation of Project Proposal

Proposals approved in principle for funding by CCCA Board will have to be elaborated into **Project Documents** and undergo a detailed review by the NCCC Secretariat, in conjunction with UNDP, to ensure compliance with CCCA Trust Fund’s requirements, prior to receiving final approval for contracting and funds disbursement.

Micro-assessment

For grantee with award in excess of US\$100,000 will be subject to undergo a capacity assessment by a firm contracted by UNDP Cambodia, as per the UNDP regulations.

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Agreement

Letter of Agreement (LoA) will be signed between the Grantee and UNDP upon the project approval by the PSB. The Project Document will form part of the LoA.

Accounting

Grantees will be requested to maintain a separate account for the implementation of the CCCA-funded project.

Visibility

Grantees will be expected to visibly acknowledge CCCA support on materials produced or purchased as part of the project.

In addition, grantees are encouraged to take advantage of opportunities to communicate grant results including but not limited to conferences, policy briefings, media interviews and other forms of communications.

Monitoring, Reporting and Evaluation

Grantees have the responsibility for achieving results planned in the project. They must monitor their own activities and comply with CCCA reporting requirements which are based on quarterly narrative and financial reporting. At the close of each grant, the Grantee is expected to provide a final report on the project and its findings.

Audit

The CCCA Trust Fund requires the grantees to undergo an annual and project completion audit (which would include certification of the final financial statement) by external independent and certified auditor.

All audit costs are to be borne by the organization and can be included in the budget.

9. Transparency and assistance to Applicants

NCCC Secretariat is committed to providing up-to-date, accurate and user-friendly guidelines for applicants and grantees.

While it cannot provide direct support in terms of preparation of application documents, projects or reports, it will try to respond promptly to queries received. However, the NCCC Secretariat will not give prior opinion on the eligibility of applicants or projects nor will it respond to individual inquiries regarding the status of review process.

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The CCCA Trust Fund will also apply a policy of transparency in the review process. During the review process, application information will only be shared with the review panel and the PSB members. Once project proposals have been approved for funding, information on awarded projects will be posted on the CCCA Trust Fund website (under development).

10. Contact

Please direct inquiries to:

NCCC Secretariat

c/o Climate Change Department, Ministry of Environment
#48, Samdech Preah Sihanouk Blvd
Phnom Penh, Cambodia

Email: secretariat@camclimate.org.kh

Annexes:

- A. Concept Note guideline & templates
- B. Project Proposal guideline & templates