Annex A: Concept Note Guideline & Templates

Concept Note Guideline

1. The GSSD 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 investing in preparing a long project proposal.
2. It is important that the concept note clearly demonstrates the **relevance** of the project to the focus of the specific funding 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 explain the **management arrangements**, 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 does not constitute a guarantee that their proposals will be funded.
5. The concept note should be as **concise** as possible and **should not exceed 8 pages (A4)** (excluding attachments). Concept notes must be prepared using the prescribed format presented in this annex.
6. Concept note should be prepared using the **Calibri font, font size 12** and **the margins 2.54 cm (top, bottom, left, right).**
7. Concept note should be submitted under a **cover letter** signed by the representative of the applicant and must be accompanied by all required **supporting documents**. Applicant can use the checklist provided at the end of this annex to check that they have prepared all the required documentation.

**Concept Note Template**

1. **General Information**

|  |  |
| --- | --- |
| Date of Submission |  |
| Grant Window # (see Call for Proposals) |  |
| Proposal # (to be filled out by GSSD)  |  |

1. **Applicant Information**

|  |  |
| --- | --- |
| Eligible ministry or agency endorsing the proposal |  |
| Name of applicant (full and acronym) |  |
| Address |  |
| Contact person (name and position)  |  |
| Email |  |
| Website |  |
| Telephone # |  |

1. **Project Information**

|  |  |
| --- | --- |
| Project Title |  |
| Status | New project or existing project |
| Project location(s) |  |
| Level of proposed intervention | e.g. National, sub-national, community … |
| Partners |  |
| Proposed project duration  |  |
| Total Project budget (US$)  |  |
| Amount requested from the grant facility |  |
| Co-financing (in cash or in-kind)  |  |

1. **Project Description**

Note: For this section, it is not mandatory 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. Applicants may use bullet points to present their ideas under each heading.

1. **Problem Statement (max 1 page)**

Briefly describe the climate change risk(s) or the mitigation objective that the project proposes to address, with relevant evidence. Mention how it relates to your ministry/agency Climate Change Action Plan. What has been done already to address them and justify how the project brings added value.

1. **Overall Objective (few lines)**

State the overall objective of this project

1. **Beneficiaries (half page)**

Describe the target direct and indirect beneficiaries including numbers and locations. Identify vulnerable groups (e.g. gender, elderly, children, poorest, disabled), their underlying vulnerabilities and how climate is and will affect them. Describe the strategies to target vulnerable groups (main elements only, to be further elaborated in the full proposal).

1. **Key Activities (few lines)**

List the key activities that will be implemented in this project, and which groups of beneficiaries they will be targeted to.

1. **Expected Outputs (few lines)**

List the outputs that would be expected from implementing the above key activities.

1. **Impacts (few lines)**

Briefly state what impacts the project aims to attain (include the impact for vulnerable groups).

1. **Risks (max ½ page)**

List possible difficulties and problems that may be encountered in implementing this project and propose ways to address/mitigate them

1. **Monitoring & Evaluation (max ½ page)**

Briefly describe how the project plans to monitor progress and evaluate results (methods and main indicators), including the effectiveness of reaching the poor and vulnerable. Take into account alignment with the national level M&E framework for climate change.

1. **Management Arrangements (max ½ page)**

Briefly describe how the project will be managed – what management structures will be established.

Describe the roles and responsibilities of the applicant and its partners. What kind of legal arrangements for partnership and financial disbursement is being envisaged between the applicant and the partners?

Applicant may want to include a simple diagram showing the proposed management arrangements (optional).

1. **Coordination/Synergy-building and Contribution to Knowledge (max. ½ page)**

How does the project intend to coordinate or collaborate with other existing initiatives in the similar thematic or geographical area, in order to avoid duplication and promote synergies?

What are the specific knowledge products expected from this project, and how will they be fed into national, sector or sub-national policies and plans?

1. **Approach (max ½ page)**

Briefly describe the innovative aspects of the proposed project. Explain whether this is piloting a new approach or replication/up-scaling of a proven approach. What lessons learned from past projects or best practices in other locations/countries are being reflected in the project design? How will the project influence the broader programming of the ministry/agency and/or help mobilize additional domestic and international resources for the implementation of the Climate Change Action Plan?

1. **Sustainability (max. ½ page)**

Briefly explain what will be the strategy for sustaining the impacts of this project beyond its life and key milestones for achieving sustainability. This should include an explanation of how the project plans to leverage i) public finance (Government, local Government or development partner budgets), and/or ii) private finance (investments in the proposed approaches/technologies from households, private firms/investors).

1. **Budget Summary**

Provide a budget summary using the table provided below. Indicate the co-financing from the applicant or partners under “Other funds” column. Budget amounts should be expressed in US$.

Note 1: Budget categories are examples only. Applicants can use different budget category based on their accounting systems.

Note 2: Indirect costs are not eligible and therefore cannot be included in the project budget.

Note 3: Some limited project preparation costs may be included in the budget at this stage, if funds are needed to develop the full proposal. Please note that these funds are included within the project budget and maximum allocation for the ministry or agency. The maximum amount of these costs is USD 5,000, and limited to local consultancy/study costs, and associated travel and consultations. Prior approval from the Secretariat must be secured and supporting documents must be provided together with the first project financial report, or the expenditure will not be eligible.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Budget category** | **Requested from GSSD** | **Of which, reimbursable project preparation amount****(optional)** | **Other funds** | **Total** |
| Personnel |  |  |  |  |
| Travel |  |  |  |  |
| Contractual Services |  |  |  |  |
| Workshops, meetings |  |  |  |  |
| Equipment  |  |  |  |  |
| Outreach  |  |  |  |  |
| Audit |  |  |  |  |
| Miscellaneous  |  |  |  |  |
| … |  |  |  |  |
| **Total** |  |  |  |  |

1. **List of Attachments**

Please fill out all the relevant attachments and submit together with the concept note.

Attachment 1: Indicative Project Workplan (mandatory)

Attachment 2: Eligibility Profile of the Applicant (mandatory)

Attachment 3: Partners Information (mandatory only if the applicant plans to work with other organizations)

Attachment 4: Endorsement Letter or Document from Minister/ Head of Agency.

**Attachment 1: Indicative Project Workplan**

|  |  |  |  |
| --- | --- | --- | --- |
| **Output** | **Activities** (List key activities including M& E activities)  | **Responsible Parties**  | **Timeframe (**each column should represent one quarter)  |
|  |  |  | **Q1** | **Q2** | **Q3** | **Q4** | **Q5** | **Q6** | **Q7** | **Q8** |
|  |  |  |  |  |  |  | **X** | **X** |  |
|  |  |  |  |  |  | **X** | **X** |  |  |
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**Attachment 2: Eligibility Profile of the Applicant**

1. **Climate Change Strategy**

Does your organisation have a strategy and action plan for climate change?

1. **Organizational Structure** (provide an organizational chart)
2. **Climate Change Focal Point**

Provide name(s) and title(s) of the staff appointed as 1) NCSD member, and 2) technical-level focal point(s) (CCTT member or CC Working Group).

1. **Experience**
2. **Projects Related to Climate Change**

List all the Climate Change related projects implemented during the last 5 years including those that have been completed/terminated during this period and provide the following information for each.

Project Name:

Budget (US$):

Donors:
Location(s):
Duration:

Objective:

Experience working with vulnerable groups:

Status (ongoing or completed):

1. **Other Non-Climate Change Projects**

Summary information only, such as annual size of portfolio, target areas or themes, etc... Disaggregated information by project is not required

**Attachment 3: Partners Information**

Please provide the below information for every partner that will be involved in this project.

|  |  |
| --- | --- |
| **Name of Organisation** |  |
| Address |  |
| Website |  |
| Expertise |  |
| **Name of Contact Person**  |  |
| Title |  |
| Telephone |  |
| Email |  |
| Contributions to the project\* |  |
| Expected role in this project\*\* |  |

\*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.

**CHECKLIST FOR SUBMISSION**

Applicant can use the list below to check if the documentation is complete before making the submission to the GSSD. There is no need to include the checklist in the submission.

[ ]  Did you consult your partners when preparing the Concept Note? Did all your partners agree to the content of the Concept Note?

[ ]  Does your project fully address the priorities identified in the grant application guidelines?

[ ]  Does your organization as the applicant fully meet the eligibility criteria specified in the Grants Application Guidelines?

[ ]  Have you completed all the sections of the Concept Note using the format provided?

[ ]  Did you use the correct font and size?

[ ]  Did your respect the guidance on length of each section and for the whole Concept Note (max 8 pages)?

[ ]  Is the total amount requested from the grant facility within the maximum eligible amount for your agency/institution?

[ ]  Did your organization and your partners fully understand that no indirect costs can be charged to the grant facility?

[ ]  Did you prepare all the required attachments?

[ ]  Did you prepare a cover letter signed by your representative?

[ ]  Did you copy all the documents you are submitting in a CD-ROM or USB stick?