

Orientation Workshop  
12 January 2015

# **Concept Note and Full Project Proposal Templates**

# **Stage 1: CONCEPT NOTE**

# Guidance Note on Concept Notes (1)

- Applicants must first submit a Concept Note as a short outline proposal for preliminary review without investing in preparing a long project proposal.
- The concept note must clearly demonstrates the **relevance** of the project to the focus of the specific funding and be developed in close collaborations with partners.
- The acceptance of a concept note and an invitation to prepare a more detailed proposal does not constitute a guarantee that the proposals will be funded.

# Guidance Note on Concept Notes (2)

- Applicant can use the checklist provided at the end of the annex to check that they have prepared all the required documentation.
- The concept note should be as **concise** as possible and **not exceed 8 pages** (excluding attachments) using the prescribed format: **Calibri font, font size 12 and the margins 2.54 cm (top, bottom, left, right).**

## I. General Information

Date of Submission	
Grant Window # <small>(see Call for Proposals)</small>	
Proposal # <small>(to be filled out by NCCC Secretariat)</small>	

## II. Applicant Information

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

## III. 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 (in US\$)	
Amount requested from the Grant Facility	
Co-financing (in cash or in-kind)	

# Project Description

- Problem Statement (max 1 page)
- Overall Objective (few lines)
- Beneficiaries (½ page)
- Key activities (few lines)
- Expected outputs (few lines)
- Impacts (few lines)
- Risks (max ½ page)
- Monitoring & Evaluation (max ½ page)
- Management Arrangements (max ½ page)
- Sustainability (max. ½ page)
- Coordination/Synergy-building and contribution to knowledge (max. ½ page)
- Approach (max ½ page)

# Budget Summary

<b>Budget category</b>	<b>Requested from NCCC-Secretariat</b>	<i>Of which, reimbursable project preparation amount  (optional)</i>	<b>Other funds</b>	<b>Total</b>
Personnel				
Travel				
Contractual Services				
Workshops, meetings				
Equipment				
Outreach				
Audit				
Miscellaneous				
...				
<b>Total</b>				



# Partners Information

<b>Name of Organization</b>	
Address	
Website	
Expertise	
<b>Name of Contact Person</b>	
Title	
Telephone	
Email	
Contributions to the project*	
Expected role in this project**	

## **Stage 2: FULL PROJECT PROPOSAL**

# Full Project Proposal Development (1)

- It should clearly demonstrate the strong rationale for the project activities as well as highlight the capacity and experience of the organizations delivering the project.
- It is important to clearly describe **management arrangements** among the partners, if multiple organizations are involved.
- 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.
- The length of the Project Proposal should not be more than **15 pages**, excluding the attachments.

# Full Project Proposal Development (2)

- The Project Proposal should be prepared according to the format presented in this annex using the **Calibri font, Font size 12, single line spacing and the margins 2.54 cm (top, bottom, left, right).**
- The Project Proposal should be submitted with a **cover letter** signed by the NCCC member of the concerned ministry/agency, and must be accompanied by all required **supporting documents**.
- Submission of the Project Proposal needs to include **all required attachments** (see VI. List of Attachments). Applicant can use the checklist provided at the end of this annex to check that they have prepared all the required documentation.

## I. General Information

Date of Submission	
Grant Window # <small>(see Call for Proposals)</small>	
Proposal # <small>(to be filled out by NCCC Secretariat)</small>	

## II. Applicant Information\*

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

\*Applicant is the "lead" organization that will be responsible for overall project management and contractual obligations.

## III. Project Information

Project Title	
Status	New project or existing project
Project location	
Level of proposed intervention	e.g. National, sub-national, community ...
Partners	
Proposed duration	
Total Project budget (in US\$)	
Amount requested to the Grant Facility	
Co-financing (in cash or in-kind)	

# Project Justification

- *Executive Summary*
- *Project context*
- *Expected results and alignment with national priorities*
- *Institutional alignment, sustainability and ownership*
- *Targeted beneficiaries, participation and voice*
- *Project approach and partnership arrangements*
- *Added value of the project and contribution to knowledge*

# Attachment 1: Sample Results Framework (with some examples)

**Project Title:**

Result statements	Objectively verifiable indicators	Baseline	Targets	Sources and Means of Verification	Assumptions
Overall objective:					
Outcome 1:	<i>Outcome Indicator 1</i>				
	<i>Outcome indicator 2</i>				
Output 1.1 <i>Ex: Government officials of Department of Agriculture (DoA) understand the potential impacts of Climate Change on agriculture in Cambodia</i>	<i>Number of government officials of DoA who successfully completed the post-training assessment</i>	<i>N/A</i>	<i>20</i>	<i>Pre and post-training assessment report</i>	<i>Government officials of DoA are willing to improve their knowledge on climate change</i>
Output 1.2					
Outcome 2	<i>Outcome Indicator 1</i>				
	<i>Outcome indicator 2</i>				
Output 2.1					
Output 2.2					
...					

# Detailed Project Budget and Work Plan

- Present a detailed work plan (Attachment 2) 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 preparation
- Project implementation
- Project closure
- Any post-project follow-up activities (for information only, as this will not be funded by the grant facility)

# Attachment 2: Detailed Project Budget by Results (with some examples)

Note: All applicants are required to present their budget in this format  
**Provide a breakdown of the project budget organised by output.**  
**Add as many lines as necessary.**

Expected Outputs	Planned Activities List all key activities to be undertaken towards stated outputs	Timeframe										Responsible Parties	Budget Line Description*	Co-Financing		Amounts Budgeted under TF (US\$)	Total Amount (US\$)			
		Q 1	Q 2	Q 3	Q 4	Q 5	Q 6	Q 7	Q 8	Q 9	Q 10			Q 11 ...	Organisation FiA			Organisation ABD		
Ex: <b>Output 1:</b> Targeted beneficiaries are aware of the impacts and adaption strategies to combat the problem	1.1. Assessment of CC awareness						x							ABD organisation	Travel, DSA 10\$ x 50 days x 2 persons	-	-	1,000.00	1,000.00	
	1.2. Design of CC education materials												x	ABD organisation	Contractual services - (design, printing, brochures) 4\$ x 2,000 items	-	-	8,000.00	8,000.00	
	1.3. Training workshops and campaign													x	ABD organisation	Travel, DSA 10\$ x 60 days x 2 persons	200.00	-	1,000.00	1,200.00
	1.4. Capacity building training of Fishery Administration														FiA		500.00			500.00
	1.5																			
												<b>Subtotal</b>		<b>700.00</b>	<b>-</b>	<b>10,000.00</b>	<b>10,700.00</b>			
<b>Output 2:</b> Climate change adaptation measures are demonstrated and evaluated in the fishery sector	2.1. Orientation workshops with beneficiaries & identification of relevant adaptation measures													x	FiA	Travel, DSA 10\$ x 85 days x 2 persons	200.00	-	1,500.00	1,700.00

# Management Arrangements

- Give a description of project implementation arrangements including responsibilities of the applicants and other project partners;
- The project implementation and supervision arrangements; capacity of the lead organization (applicant) including key staff profiles;
- The roles of each organization in this proposed project;
- Management structure and brief ToR of key positions.
- How financing will be arranged between the applicant and its partners;
- How reports will be compiled and submitted to the NCCC-S;
- Provide a diagram which clearly presents the relationships among partners and the key positions.
- Clearly distinguish between in-country capacity and remote capacity (in the case of partnerships with international organizations).

# Monitoring and Evaluation

- The applicant 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 (including disaggregating results by gender and across different vulnerable groups); 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.

# Analysis of risks and assumptions (1)

- Applicants should identify major risks to the project in the Results Framework.
- National procedures for social and environmental safeguards apply and projects should check if their activities are above any of the thresholds that require an EIA process. If so, relevant documents should be attached to the project proposals.
- The NCCC-S is available to provide guidance and reference documents in this area if required.
- Regardless of national thresholds, all projects are encouraged to conduct a self-assessment on social and environmental safeguards and to identify relevant measures in their project design and risk management strategy.
- Smaller projects are encouraged to conduct a self-assessment and identify relevant measures if needed.

# Analysis of risks and assumptions (2)

Type of risk	Description	Likelihood	Impact	Risk mitigation measure
Organizational / Partnership-related		<i>Scale of 1 (very unlikely) to 5 (very likely)</i>	<i>Scale of 1 (minimal impact) to 5 (severe impact)</i>	
Environmental				
Financial				
Reputational				
Other				

# Knowledge management and communications

- Provide detailed information on the various type of knowledge products expected from the project, target audiences, and strategies to ensure impact?
- How will the project work with organizations and projects involved in similar work (nationally or internationally), to ensure cross-fertilization?
- How will the project ensure the visibility of the NCCC-S and its donors?

# Project budget

Present the project budget in the format provided as Attachment 2 (together with work plan). Applicants are also requested to provide:

- Details of government funding or 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 co-financing contributions (either in-cash or in-kind) made by the applicant and/or project partners.
- For in-kind contributions this means providing details on which equipment will be provided, or which staff (and estimated number of person/days), and for which activities.
- Co-financed cash contributions should be documented in the project files so that the actual disbursement of co-financing can be checked during project audits.
- These co-financing contributions should be directly contributing to the project and not for indirect or general support costs of the applicant/partner.

# Full Project Proposal Appraisal

- Technical review on the full project proposals (by NCCC-S and CCTT)
- Technical review is covering financial, technical and management aspects by the NCCC-S in accordance with the pre-defined review criteria.
- CCTT members will also be consulted at this stage.
- If the additional information is required, the applicant will be contacted to provide the necessary information within a certain timeframe.
- On a case-by-case basis, the NCCC Secretariat may conduct a **verification/site visit** as part of the review process.
- Get approval from the board – No objection
- Upon approval, the grant agreement will be signed between NCCC-S and Applicants; and transfer of fund to project account (by NCCC-S).
- Those organizations that have failed to be selected will be informed in writing.
- The entire project review and approval process is expected to take around **6 to 7 months**.

# Capacity Assessment

- All grantees will be subject to capacity assessment which will be conducted by the Secretariat and determine payment modalities, monitoring arrangements from the Secretariat, and confirm applicable procedures.
- The capacity assessment is conducted by the Secretariat and determines the exact implementation modalities (payment, applicable guidelines etc.). If significant capacity gaps are identified, the applicant will be asked to take remedial action prior to signing of the grant agreement.
- NCCC-S will use the Capacity Assessment Checklist to facilitate the assessment process. This checklist should be shared with the Applicants to allow them to prepare for the assessment.

# Review Criteria

- **Strategic Alignment**
- **Partnership/Stakeholder participation**
- **Organizational capacity**
- **Commitment**
- **Targeting beneficiaries**
- **National ownership**
- **Capacity Development**
- **Cross-cutting issues**
- **Innovation**
- **Sustainability**
- **Cost effectiveness**
- **Social and environmental safeguards**
- **Project must clearly present the needs, activities / work plan, expected outputs/impacts, a strong M& E plan, risk analysis and a realistic budget estimation.**

# Questions & Answers

Thank you!