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Grant Operations Manual

PEACE Project

Myanmar

Version 2.27.18

This Grant Operations Manual focuses on the grant activities in the PEACE project in Myanmar. For guidance on other PEACE project activities, please contact LRC, or Helvetas



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Local Resource Centre



HELVETAS

MYANMAR



PARTNERSHIP FOR TRANSPARENCY FUND e.V.
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Acronyms

CFP	Call for Proposal
CSO	Civil Society Organization
EU	European Union
LRC	Local Resource Center
Helvetas	International NGO with office in Yangon
OGP	Open Government Partnership
PEACE	<i>Promoting Equitable, Accountable Civic Engagement in Myanmar</i>
PTFeV	Partnership for Transparency Fund (Germany)
RC	Review Committee (Grant approval committee made up of one representative from LRC, Helvetas and PTF)
RGM	LRC regional grant manager
TOT	Trainer of trainers

1 Background

The Myanmar PEACE Project is a collaborative program of the Local Resource Center of Myanmar, Helvetas Swiss Intercooperation and the Partnership for Transparency Fund (PTF), represented by its German affiliate PTFeV.

The principal objectives of the PEACE Project are to enhance the capacity and resources of local civil society organizations to serve as empowered and accountable civil society in Myanmar, promoting diversity, social inclusiveness, accountability, transparency and civic responsibility.

A critical instrument to help build CSO capacity and relationships with both local citizens and government authorities is the Small Grants Program. According to the original proposal, approximately 210 CSOs would receive grants, each designed to build their capacity through action learning. The original plan was to have 200 small grants (up to 2,000 Euros each), and 10 large grants (up to 15,000 Euros each) distributed to select regions. However, after the first grant cycle changes have been made; now, there will be a total of 12 large grants and 135 small grants, along with 20 grants in a new “intermediate” category (maximum 5,000 Euros).

Project activities financed by small and intermediate grants will cover a variety of activities, including building citizen awareness, citizen feedback on the quality of public services and strengthening relationships between citizen groups and public authorities. The large grants may focus on broader and longer-term undertakings such as the monitoring the quality of public service delivery or citizen engagement in promoting budget transparency. There will be four cycles of grants. To be eligible for grants, CSOs must participate in two training sessions and meet other eligibility criteria.

The first cycle of small grants begins in September-2017 with the first awards in January 2017. All grants will conclude before the end of the PEACE project, June 2020.

At the completion of individual projects, each CSO will be asked to evaluate the results and effectiveness of their effort. LRC/PTFeV will consolidate the findings into an overall assessment of the value and impact of the Grants Program.

This Operations Manual details the Operations Procedures for the Grants Program.

2 PEACE project overview

2.1 The implementing partners:

The Partners in the PEACE project are the Local Resource Center (LRC) Myanmar, Helvetas Swiss Intercooperation and the Partnership for Transparency Fund (PTF), represented by its German affiliate (PTFeV). (Wherever PTF is mentioned hereafter, it refers to both the PTF and PTFeV). The lead partner Helvetas entered a four-year Grant Agreement with the European Union, dated June 27, 2016, to carry out a program called PEACE (the Program).

2.2 Description and scope of PEACE

The specific objective of PEACE is to enhance resources and strengthen capacities of local CSOs to enable an empowered and accountable civil society in Myanmar that embraces diversity, promotes social inclusiveness, accountability, transparency and civic responsibility.

This result will be achieved through the delivery of three primary outputs:

- i. LRC, a local CSO umbrella network, will be strengthened as an accountable, inclusive and professional service provider and coordination structure among its peer networks and approximately 1000 local CSO member organizations;
- ii. Approximately 1000 local CSOs will be supported in strategic initiatives promoting community engagement and responsive local governance;
- iii. 500 local CSOs will be equipped and capacitated to participate in multi-stakeholder platforms, development projects and decision making with local authorities and public/private service providers for influencing policies and plans at national and sub-national levels.

PEACE activities will reinforce the ongoing development of LRC, which has benefitted from EU support, as a local service provider for capacity building of local organizations and platform for civil society strengthening and engagement. The goal is to professionalize and enhance the legitimacy of LRC.

The two most important target groups are:

- i) LRC, as an umbrella network with its head office in Yangon and field offices covering the other four areas of the project implementation;
- ii) 1000 local CSOs and 6000 associated individuals based in the target areas for this project (Yangon and Mandalay regions, and Northern Shan, Mon, Kayin and Tanintharyi States). These legitimate and trusted CSOs will increase their capacity and impact through trainings, implementing grants, peer learning, and conducting advocacy and then influence and interact with local and regional government, and the media.

A principal instrument for building the capacity of CSOs will be the provision of small grants to undertake projects which prioritize inclusion of disadvantaged groups in planning, implementing, monitoring and evaluating development activities. These groups include but are not restricted to women, ethnic, undereducated and unemployed youth, landless, people living with disability or disease, indebted small holder producers or fishers, and internal migrants. Each proposal will include a short stakeholder analysis which will serve to identify the ‘disadvantaged’ group in the proposed location.

The small grants program will also capacitate CSOs to leverage existing frameworks, both formal working groups and less formal networks relevant to their specific sector at national and more local/regional and state levels

2.3 Purpose of grants

LRC will make grants to civil society organizations (CSOs) for activities to promote citizen engagement with government and build their capacity to participate in civic life. CSOs’ capacities will be strengthened through on-the-job learning-by-doing, as they design and implement projects.

The objectives of the grant program are to:

- a. encourage the development and professionalization of local CSOs,
- b. provide the resources for local CSOs to grow and develop their work in three thematic areas: OGP, civic engagement and socio-ecological development;
- c. provide the support to CSOs to engage with their local and regional governments, and the media, to promote and advocate for more open, inclusive and equitable development.

The grants program will enhance the capacity of CSOs to hold public authorities—primarily at the local government level—accountable and transparent. As a result of proposed activities:

- i. citizens will be better aware of their rights and responsibilities;
- ii. citizen groups will become stronger advocates and participants in governance;
- iii. CSO networks will be strengthened;

These outcomes will lead to the delivery of higher quality public service and more effective citizen engagement in public life.

The thematic areas for the grants program are: the Open Government Partnership (OGP: see <https://www.opengovpartnership.org/about/about-ogp>), civic engagement, beneficiary feedback collection, constructive engagement to improve service delivery, and socio-ecological development. Proposals will have to demonstrate how human rights, gender, inclusiveness, good governance and conflict sensitivity will be mainstreamed.

2.4 Grant characteristics

According to the initial EU approved proposal, 210 grants would be awarded to legitimate and trusted CSOs who have completed at least two training sessions, and meet other application criteria. Two categories of grants were proposed: “small” grants and “large” grants. The maximum award for the 200 small grants was 2,000 Euros; for the ten large grants the maximum award was 15,000 Euros per large grant. See [appendix 5.1](#) to see the proposed distribution of grants according to the original proposal.

However, based on the results from the first cycle of grants, the composition of grants available to CSOs was adjusted. As of February 1, 2018, there are now three categories of grants, with new allocations. The next table summarizes these changes.

<i>Grant description</i>	<i>New target for all four cycles</i>	<i>Cycle 1 result</i>	<i>Total target for cycles 2-4</i>
Small grants	135	17	118
Intermediate	20	N/A	20
Large	12	6	6

The changes made to the original proposal can be summarized as follows:

- The total number of “large¹” grants (max. 15,000 €) increased from 10 to 12;
- A new category, “intermediate” grants (max. 5,000 €) was introduced. There will be 20 grants in this new category;
- The total number of “small” grants (max. 2,000 €) has been reduced from 200 to 135.

Based on these new targets, each of the four LRC offices will receive a total of 34 small grants, 3 large grants and five intermediate grants to distribute to CSOs located in nearby regions over the life of the PEACE project. These are approximate targets. The actual number of grants approved in any category may vary depending on the relative quality of the grant proposals.

The following table shows the targets by LRC office for each category *for cycles 2 to 4*.

¹ Note that the terminology was different in the original proposal. The large grants referred to in this document were originally called “intermediate” grants in the original proposal.

Grant distribution for cycles 2, 3 and 4

	Yangon			Mandalay			Lashio			Mawlamyine			Totals
	Cycles			Cycles			Cycles			Cycles			3 cycles
	2	3	4	2	3	4	2	3	4	2	3	4	
Large	2	-	-	0	-	-	2	-	-	2	-	-	6²
Intermediate	3	2	-	3	2	-	3	2	-	3	2	-	20³
Small	10	10	10	9	9	9	11	10	10	10	10	10	118

Since the larger grants are planned to have a longer duration (up to 18 months), all the large grants will be distributed in the first and second cycles so that there is sufficient time to complete proposed activities.

The allocations described above are estimates, not firm targets. If insufficient numbers of quality grants are received in an office, either small or large, fewer may be given in any cycle. This does not necessarily mean that a given office “loses” any portion of their allotted totals designated for their region (unless the Review Committee determines that a realignment is needed). It only means that the region has more grants to distribute in the next, or later cycles (provided there are more cycles to make up any shortfall). The reverse is also true, if there are many high-quality proposals in one cycle, the regional grants manager may recommend, and the Review Committee may approve more proposals than the targets noted above, but this would mean fewer grants available in a later cycle for that office. If the number of grants distributed in the first two cycles indicate significant differences among regions in grant quality, the Grant Review Committee may consider possible reallocations among the offices. The overall objective is to ensure the maximum number of qualified CSOs are able to participate and benefit from the grants program.

Grant cycle duration:

The first grant cycle will begin in PEACE project year two (September 2017), and each cycle will last six months. A cycle is measured from the date the call for proposal is announced to the date the awards from that cycle are made. (See [annex 5.3](#) for a visual display of the four cycles.)

CSO project duration:

There are no fixed project durations for each grant category. Small grants will typically terminate in less than one year, and could even be for a particular event over a period of several

² The total number of large grants in the project has been increased from 10 to 12 grants. Since 6 were awarded in the first cycle and all the large grants must be distributed in the first and second cycles, six more will be awarded in the second cycle. An attempt will be made to distribute the grants equally across the four regions; hence, there are 0 targeted large grants for Mandalay, since they received three in the first round. However, in reality, the best large grants will more likely be approved, regardless of regional distribution.

³ The target is to award these intermediate grants in cycles 2 and 3, given that they may need more time to complete before the PEACE project ends.

days or weeks. CSO projects using intermediate grants may take more time to complete, but could be shorter than a small grant if the project design calls for a short duration. The larger grants can extend for up to 18 months, but can also be for a much shorter period depending on the proposed activity. Essentially, the duration of any grant depends on the project objectives, budget and expenditure rate.

Grant applications:

The differences in the CSO application between small and intermediate versus a large grant will be the description of the grant, the CSO responsibilities, the levels of CSO certifications needed, and the review process. Small and intermediate grants can use a simpler application form. In the large grant application, a CSO will highlight benefits of constructive engagement between government agencies and networking possibilities.

All applications will specify practical and realistic goals, a work plan, a budget linked to activities, expected results, and a monitoring, evaluation and feedback plan. (According to the PEACE project proposal, proposals should include: a stakeholder and conflict analysis; a demonstration of social responsibility in regard to gender and inclusion mainstreaming; and, a regard for environmental responsibility, in particular, sustainable use and management of resources. This requirement may be more applicable to the larger grants with more capacity for analysis.)

Targeted groups:

In total, at least 25% of the direct beneficiaries of all the grants have to demonstrate direct benefit to disadvantaged groups, such as ethnic groups, or applicants from ethnic minorities, or women led CSOs, (or some combination of these groups that equal 25%). This does not mean that each individual grant has to achieve this percentage; instead, the total number of beneficiaries of the grants should meet this target. The term disadvantaged, according to the proposal, includes, but is not restricted to, women, ethnic [groups], under-educated and unemployed youth, landless [people], people living with disability or disease, indebted small-[land] holder producers, farmer groups, or fishers, and internal migrants⁴.

Types of activities supported by the grants:

The types of activities that can be supported through grants can include:

- a. workshops and seminars to raise awareness of a development issue for the local population, other CSOs, members of the press and local and regional government employees;

⁴ The proposal states, "the final beneficiaries of the action are the citizen groups and recipients of public/private services in urban and rural areas—approximately 9000 direct final beneficiaries of which overall 50% will be women and at least 25% disadvantaged."

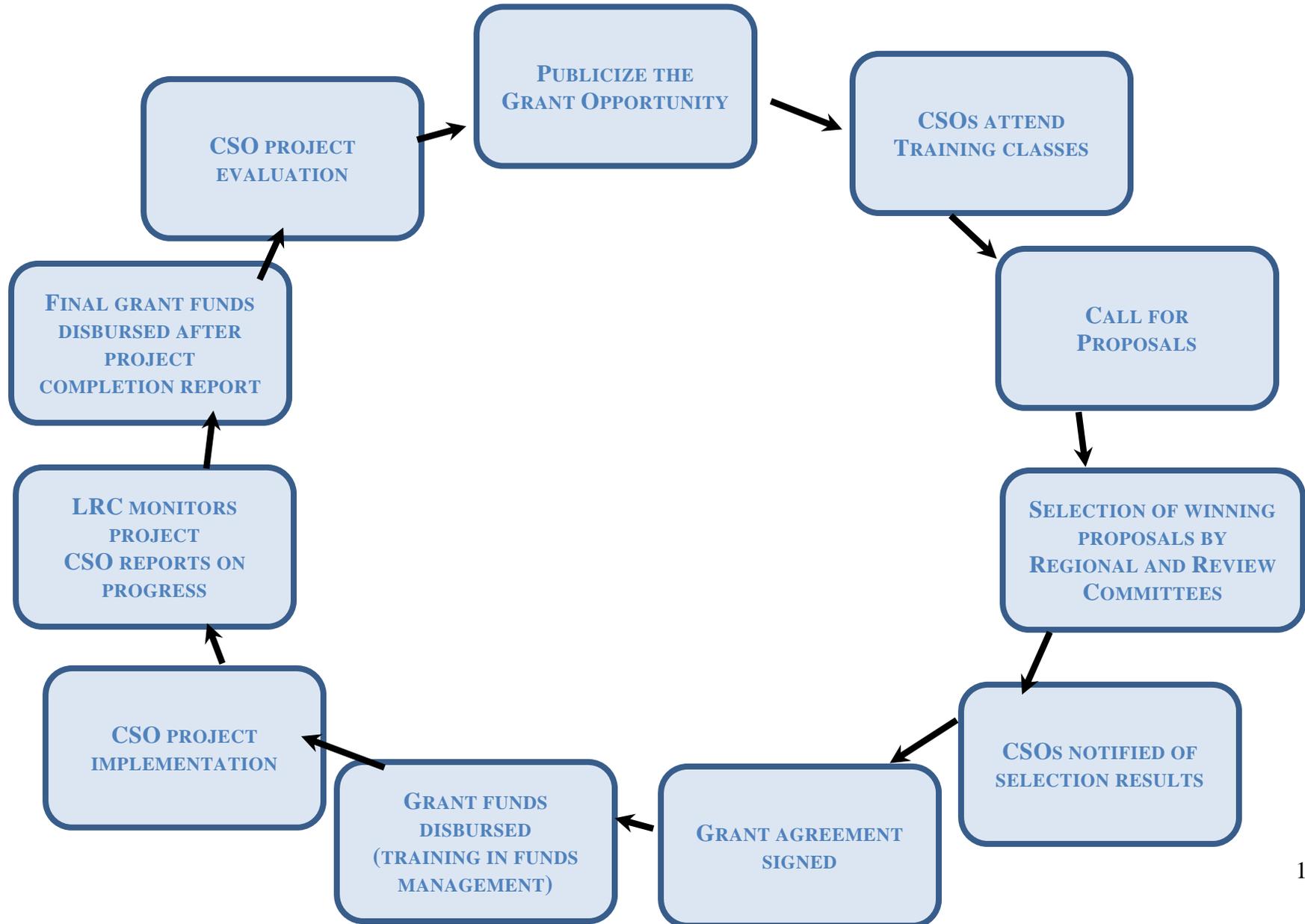
- b. outreach and meetings targeted at local and regional government employees and agencies to express community views and coordinated regional advocacy;
- c. collecting and sharing feedback on the quality of service delivery for education, health and other public services;
- d. improvements in the CSO's own internal management and administration to engage in development programs, provided that no more than 30% of the grant is used for normal overhead costs (as per LRC requirements in previous small grants programs) .

The larger grants could include more extensive activities, such as:

- a) monitoring the delivery of one or more of basic government services such as health, education or water; and
- b) supporting vulnerable groups, CSO engagement in design and implementation of development projects and in local government procurement, budgeting and planning processes.

2.5 An overview of a standard grants cycle

The following graphic shows a simple overview of the grants cycle:



These steps are summarized as follows:

1. LRC Yangon and RGM will market the opportunity to CSOs in their region and invite CSOs to participate in training sessions for the program
2. Interested CSOs will participate in at least two LRC training sessions
3. A grant application package will be sent by the RGM to each eligible CSO who requests a package. The grant application package will contain all needed forms and instructions for completion of a proposal.
4. CSOs will complete the application forms (in the Myanmar language), and then send their proposal to the RGM.
5. The RGM will assign a registration number to each applicant, acknowledge receipt, and determine if the application meets the eligibility requirements.
6. The RGM will convene a three-person committee to score eligible applications
7. The RGM submits a summary form, showing the applications, score and comments (preferably an electronic version) to the LRC program manager in Yangon.
8. The project manager will organize the information and provide recommendations to the Project Review Committee (PRC), who will meet to finalize the selection of proposals for each round.
9. The RC will send a list of accepted and unaccepted CSO proposals to the RGM.
10. The RGM will notify the CSO in writing of the status of their application. For accepted proposals, the RGM will meet with the CSO and go through the forms that will be used during the project term. For those unaccepted proposals, feedback will be given to encourage another submission.
11. The initial grant disbursement will be made as soon as all documentation (grant agreement, certifications) is received from CSOs. Subsequent disbursements will be made according to individual project progress.
12. The CSO provides periodic updates on project progress to RGM.
13. Each RGM monitors proposal activities through the review of reports and bi-monthly site visits, and reports results to the LRC Program and M&E Managers
14. At the conclusion of the grant, CSO prepares a final project report describing the experience and results.

2.6 Grant Timeline

An indicative timeline for processing grants is shown below. Actual times can vary.

Standard Grant Processing Timeline

Activity	Week											
	1	2	3	4	5	6	7	8	9	10	11	
Marketing of grant opportunity												
CSO training												
Call for proposals issued												
Proposals received												
Proposals reviewed and recommendations made to PRC												
Projects selected and all CSOs notified of results												
Projects begin and first disbursement made												

3 Detailed Operating Procedures

This chapter explains the operational details of the grants program, including the time periods for activities, and persons responsible. The subsections in this chapter are presented in according to the life cycle of a typical grant in this project.

3.1 Publicizing the grant opportunity

In order to ensure that eligible CSOs are aware of the opportunities presented, LRC will undertake a series of outreach activities to promote PEACE. These efforts will complement existing channels that raise awareness and build the confidence of government and CSOs in social accountability approaches. The ways that are most effective can be decided by LRC and their local staff. One critical caveat is that marketing must be transparent and fair so that a broad range of CSOs become aware of the grants. In particular marginalized groups and areas must be identified and CFPs sought from CSOs representing these places.

Sample activities that have been used in the past to market opportunities include:

- Advertisements
- Social media
- Internet (emails and websites)
- Targeted events such as local meetings
- Radio events
- Site visits

Each RGM must document all marketing efforts, by listing the date, type of activity, and characteristics of those who participated. A report shall be forwarded to LRC Project Manager monthly for review. The format for this report can be decided by the LRC staff.

3.2 CSO Training Sessions: a prerequisite to receiving a grant

The grant activity supports CSO capacity building. All grant recipients must attend at least two training topics before they are eligible to receive a grant. The design and execution of these trainings are described in detail in another handbook, *Capacity Building for CSOs*, by LRC and PTF.

Skills to be developed:

Based on project objectives and a CSO needs assessment, the CSO capacity-building activities will focus on the following topics.

- a. Role of CSOs in development processes
- b. Essentials of Organizational development (*strategic planning, accounting, financial management, fundraising and proposal writing, M&E, and communications including documentation of success stories*)

- c. Civic engagement skills (*accessing and sharing information, consultations, grievance redress, performance monitoring, and engaging constructively*)
- d. Management of grant funds
- e. Conflict sensitive project management (CSPM)

Grant applicants choose from one or more of the pre-defined activities for implementation under the grant.

Eligible activities for funding include:

Grant Program		
Activity Eligible for funding	Core Output*	Core Outcome
Workshops and seminars to raise awareness of a development issue	Increased knowledge levels on information shared; improvements in communication materials	Increased awareness among citizens of their rights and responsibilities,
Meetings between community members and authorities to express community views and advocacy	Consultation events; proportion of marginalized and priority groups in consultations	Increased support for projects/policies; increased use of services; improved governance through citizen groups advocacy and participation
Collecting performance feedback on government services and sharing it with service providers	Feedback data report produced; performance data sharing events; corruption/fraud and allegations received and shared	Government authorities meeting with communities; Remedial actions taken based on feedback; improved access and quality of public services
Helping citizens' resolve their grievances/complaints using government/donor systems	Persons helped; grievances registered; awareness raised on GRM process.	Grievances resolved; remedial actions triggered; improved implementation and services

The grants are a means for active learning, by providing an opportunity to apply the skills learned in the CSO multiplier training and grants management training.

3.3 Call for Proposals

The LRC project manager can prepare a Call for Proposal (CFP) for each grant category separately, or as a unified CFP, but with separate components. The CFP will include at a minimum:

- Objectives and rationale of the PEACE Program, especially the grant facility;
- An explanation of the distinct grant levels—small, intermediate, and large grants, with the total numbers expected to awarded in a region and cycle.
- The CFP submission process, including dates, places, and time frames.
- Forms needed to complete a proposal application. LRC may decide to have separate application forms for small, intermediate, and large grants; or, one agreement for small and intermediate grants, with a more extensive application form for large grants.
- Limitations and exclusions (eligibility criteria)

If necessary, CFPs can be translated into local languages, so that marginalized groups can receive information about the opportunity; otherwise all CFPs will be in the Myanmar language.

Proposals

LRC will determine an adequate time for the submission of proposals after the CFP announcement. This period should not be less than three weeks and no more than five weeks. All CSO proposals will include:

- Requested amount in Euros;
- detailed CSO information such as legal status, governance structure, background of its director/trustees and executives;
- description of the CSO's proposed objectives, methodology and activities, and monitoring and evaluation plan, supported by a logical (framework) analysis (for large grants only)
- the implementation arrangements;
- expected outcomes and impacts;
- a budget;
- a signed certification of CSO eligibility to receive funding under the PEACE Project.

3.4 Proposal processing and evaluation

The Grant Managers should think of the grant cycle in four steps. These steps are highlighted in the blue boxes, while the details are more fully explained in the section text.

Step 1: Eligibility

- Determine if the CSO is eligible
- Determine if the proposed project meets the CFP guidelines
- Determine if the proposal is complete

3.4.1 Receipt of CSO proposals

The RGM must only collect CSO proposals within the time frame listed on the CFP. Proposals received after the deadline are not acceptable. In cases where a late proposal is received, the proposal should be returned to the CSO, but with the comment that the late proposal could be submitted in the next round. The RGM can examine these late proposals for completeness (whether or not all the forms have been properly submitted), and can let the applicant know if the proposal package is complete.

Before the proposal deadline, the RGM will likely receive proposals daily. The first step in the review process—before any scoring of the proposal quality occurs—is to make sure the proposal is complete, and record the receipt of all proposals (whether complete or not) using the form

provided (See [annex 5.5](#)). A complete proposal has all the required documentation that enables an RGM and then the Review Committee to evaluate the content. Each proposal will be assigned a unique registration number, which will be referred to in all future reports and correspondence. All applicants will sign a certification form ([annex 5.6.3](#)) to confirm that the CSO meets the eligibility criteria.

3.4.2 Assigning a registration number

Each grant manager is responsible for assigning the registration number for all grant proposals submitted to their office. The registration numbers will follow a sequential three-digit numbering sequence preceded by the LRC office prefix. The following table shows the first ten numbers for each office:

Registration numbering for applications			
Yangon	Mandalay	Lashio	Mawlamyine
YAN001	MAN001	LAS001	MAW001
YAN002	MAN002	LAS002	MAW002
YAN003	MAN003	LAS003	MAW003
YAN004	MAN004	LAS004	MAW004
YAN005	MAN005	LAS005	MAW005
YAN006	MAN006	LAS006	MAW006
YAN007	MAN007	LAS007	MAW007
YAN008	MAN008	LAS008	MAW008
YAN009	MAN009	LAS009	MAW009
YAN010	MAN010	LAS010	MAW010
YAN...	MAN...	LAS...	MAW...
<i>CONTINUE TO</i>	<i>CONTINUE TO</i>	<i>CONTINUE TO</i>	<i>CONTINUE TO</i>
YAN999	MAN999	LAS999	MAW999

If an office exceeds 999 applications then a revised numbering system will be used at that time.

3.4.3 Definition of a complete CSO proposal

The RGM should review the CFP for completeness, and eligibility as soon as a proposal is received. Incomplete submissions should be identified immediately and a request made (by phone, email, or in person) to the submitting organization to remedy any missing documents, or update their CSO eligibility criteria by the deadline. All partial submissions (incomplete) by the deadline are considered ineligible for this round of funding and must wait until the next round. The incomplete proposal should be returned to the CSO, who can then add the necessary documents, and resubmit the proposal during the time period for accepting proposals in the next cycle of grants. A complete proposal is defined in the next section.

The RGM should not assist a CSO in writing a particular proposal, but can hold writing sessions for several CSOs (the more the better at any session) to explain how to write an adequate proposal. The RGM cannot be seen as favoring any CSO; the RGM must consider how any assistance to a CSO will be viewed by other “competing” organizations. As long as information concerning proposal preparation is shared openly with all CSOs, then the likelihood of accusations of unfair process will be diminished.

The RGM will acknowledge receipt of every proposal, along with its status as “complete” or “incomplete,” to the organization submitting the CFP, in writing (see form #), within two days after the proposal has been received by the RGM.

The following criteria will be used to evaluate “completeness.” A proposal package will include:

- Grant proposal form (#)
- Grant budget form (#)
- CSO eligibility form signed (#)
- Evidence that the CSO has completed the prerequisite training classes

Note that the information in the grant application form is included as [annex 5.6.1](#). Not every CSO may be eligible for a grant, the following section describes the eligibility criteria.

3.4.4 Eligibility Criteria for CSOs

The following eligibility criteria would apply to all CSOs applying for a grant:

- a) The CSO must be recognized as a functioning organization in its community;
- b) The CSO must have established policies and procedures to govern its operations;
- c) The CSO procedures and policies allow the CSO to enter into agreements with LRC;
- d) The CSO has adequate capacity to carry out proposed activities
- e) The CSO has attended two training sessions given by the PEACE project
- f) The CSO has not already received more than 15,000€ in awards under the PEACE project, or will not exceed the 15,000€ maximum ceiling if they win a new award, and
- g) The CSO has not already received funding from other sources for the activities proposed under the PEACE Project.

Note: It is possible for a CSO to receive more than one grant, the limitation is that the total amount from all the awards cannot exceed 15,000€ Theoretically, this means that a CSO can receive only one large grant, or up to four small grants, or even three intermediate grants (one small grant in each of the four grant cycles), or some combination of small and intermediate grants that sum to less than 15,000 Euros.

The RGM does not have to read the CSO organization by-laws, incorporating documents, attendance records, or board minutes to determine eligibility. The CSO will be asked to sign a

certification document stating that these requirements (*a* through *e*) have been met. (See [annex 5.6.3](#))

The RGM will check that the CSO has attended the two required training sessions. Membership and attendance confirmation will be provided by LRC Yangon via email before the RGM responds back to the CSO about the status of their application.

3.4.5 Evaluation criteria

After the RGM has determined that the CSO is eligible and that the proposal is complete, the next step is to convene a three-person committee to evaluate the content of the proposal and render a score for submission to the Review Committee (along with other documents to be discussed later).

Step 2: Evaluation of proposals

- Grant managers will convene a three-person committee to review proposals
- Scorecards will be used to evaluate each proposal
- Score results will be sent to the Review Committee for final approval

A score card will be used to evaluate every application (See [annex 5.7](#)). Each complete and eligible proposal is evaluated on the basis of clarity, feasibility and value to the PEACE project goals and objectives. In particular the following areas will be judged:

- Organization’s capacity to complete the proposed activities
- The degree to which the proposal contributes to PEACE objectives
- Clarity of proposal
- Feasibility of proposal activities
- Adequacy of project management and staffing arrangements
- Appropriateness of outputs, outcomes and results
- The adequacy of indicators for monitoring purposes
- The monitoring and evaluation methodology
- Reasonableness of proposed budget
- The target audience (marginalized groups)
- The likely impact

Note: There is an exception:

CSOs that complete a small grant project rated "highly successful" can receive a second small grant without going through the competitive evaluation process for the second small grant application. The LRC M&E staff will determine which projects have met the "highly successful" criterion based on a review of the first grant completion report and other data. A list of “highly successful” projects will be sent by the LRC M&E manager to the Regional Review Committee,

Review Committee, and grant managers for their confirmation before notifying the CSO of this status. CSOs meeting this “highly successful” criteria would still have to submit a second proposal, with a new budget and activity plan for the follow-up small grant so that there could be adequate monitoring of the new activities. The CSO will also have to submit an additional completion report for the new grant.

3.4.6 The regional approval process

There will be a three-person regional review committee (RRC) at each of the four LRC offices, consisting of the LRC regional grant coordinator, Department of Social Welfare (DSW) representative and a CSO representative (who is not eligible for a grant). This committee will review the applications, score them, and then send the results to the Review Committee in Yangon. The LRC regional grant manager, or designee, will serve as the secretary for the committee.

Within ten business days after the proposal deadline, the RGM will prepare a summary document, summarizing the CFPs received, along with a scorecard for each proposal, recommendations for selection and any comments. This documentation can be sent electronically to the LRC project manager in Yangon. The RGM will not notify the CSO of this initial score; the Review Committee in Yangon must still agree with the initial assessment, or form their own conclusion.

If the RGM has any questions or concerns about a proposal submission, the RGM will contact the project manager at LRC.

To summarize, the RGM should check each proposal first for completeness and CSO eligibility. If the proposal is complete then the RGM, DSW and NGO representatives will score the proposal using the form provided. The RGM, DSW or NGO representatives will not notify any CSO of this initial score. After all the proposals for a cycle are received the RGM will review all the proposals, and prepare a summary report to be submitted to the Program Manager. The summary report will prioritize the proposals within their region along with any recommendations. The summary report is included as [annex 5.8](#).

3.4.7 Proposal budget

The types of expenses that are permitted in a proposal depend mostly on the proposal. A simple budget format will be used (see [Annex 5.6.2](#)). However there are certain expenditures that are not permitted in any of the grants.

The proposal budget should contain estimates of all costs with adequate explanations and justifications. All budgets will:

- be stated in local currency and in equivalent Euro terms;

- provide details of all estimated project expenses (inputs, quantities and price) including, but not limited to, salaries, honoraria and fees payable to CSO management, staff and technical experts, direct project expenses (such as costs of roundtables or seminars, training, transportation, promotional materials, monitoring), operational expenses (office rent and utilities, communications, equipment rentals).
- Where additional personnel and/or consultants are to be hired, terms of reference must be prepared and the process of selection specified.

The grant will be in EUROS. To take account of exchange rate fluctuations, the exchange rate during the past 30 days prior to full proposal submission should be used in the project budget.

Eligible costs

Eligible costs include:

- costs for services and work related to the activities approved in the proposal
- costs that are verifiable. This means that the costs are recorded in the accounting ledgers of the applicant using standard accounting procedures.
- costs that are legal
- reasonable costs
- all costs incurred before the end of the project

The grants will allow up to 7% of the total grant amount for indirect costs. These will be shown as a line item in the budget.

Grants can also fund administrative costs associated with the project up to 23% of the grant amount. The applicant should be aware that proposals that are considered inefficient will receive lower scores in the evaluation phase. All administrative costs over and above 30% (7% indirect: 23% direct admin costs) should be financed by the CSO from sources of funds outside of the grant.

Relatively inexpensive equipment essential for a project can be purchased, provided it is justified and it is clear what will happen to the equipment at the end of the project. In such cases, the grant will normally fund only a part of the cost of equipment. If a CSO can rent/hire the equipment at a reasonable rate, it should do so.

Ineligible costs:

Grants will not fund, either partially or completely, capital expenditures (e.g., vehicles, furniture, computers, etc.). In addition the project will not fund the following categories:

- Taxes, unless approved in the proposal budget
- Contributions in kind
- Depreciation
- Provisions for future liabilities

- Debts and debt-service charges
- Costs associated with another project or action outside of the PEACE project
- Any credits to third parties
- Fines, financial penalties, and any litigation costs
- Personal expenses
- Any additional fees and charges from the applicant's staff and management for services such as overtime, holiday pay, vacation pay, gift reimbursement, unauthorized travel, and housing expenses.

3.5 The Review Committee

The Review Committee (RC), based in Yangon, consists of three voting members from LRC, Helvetas and PTFeV, and has the final authority for selecting grants, and providing administrative changes to the granting process. Each organization will use their own internal process to nominate their own committee member. In addition, the RGMs will be expected to attend the committee meetings (as a non-voting participant) as needed to discuss the proposals in their region. The Review Committee will meet within two weeks after the LRC program manager receives the summary scoring information from all four LRC offices. The LRC Program Manager will be responsible for arranging the RC meeting. Minutes of the proceedings will be written and supplied to all partners for use by their organizations according to their internal guidelines. The selection of winning proposals will be finalized within one week after the RC meeting is held. The RC will notify the LRC program manager who will inform the grant managers, who will then inform the CSOs.

The RC is not obligated to accept a minimum or maximum number of proposals from any region in a particular CFP round. While the distribution of grants will be roughly in proportion across all regions, the allocation will be up to the RC, depending on proposal quality and other selection criteria. All efforts will be made to distribute the winning proposals proportionately among the regions (and also with consideration for marginalized groups), but the overall impact of the PEACE project will guide the committee's decisions and they may consider reallocations among regions and adjustments to the grant size (with EU approval) after analyzing the proposals in a cycle.

The Review Committee will adhere to all documented CFP conditions in making decisions. The decision process will rely to a significant extent on the scoring, reports and explanations by the regional committee (grant manager, DSW and NGO representatives). The RC can override recommendations, but must state convincing reasons for the written record. The RC can choose to organize the process of reviewing documents as is most effective. This organizing principle should not favor any particular region, or proposals within a region.

Before the RC meeting, LRC will prepare a summary of the grant review process and proposed awards. Normally, this will be sufficient information for the RC to award grants. The majority of proposals will not be translated into English. Only a selection of approved and rejected

proposals will be translated into English so that English-speaking-only RC members can review the selection process.

The RGM will inform the CSOs whose proposals were accepted, as well as the CSOs whose proposals were not accepted. Unsuccessful CSOs should be encouraged to resubmit proposals for the next round. (LRC may decide to post examples of winning proposals on the website so that CSOs can see the quality of accepted proposals. This would obviate the need for individual feedback on unacceptable proposals.)

The Review Committee will keep a record of the decisions made during their meeting: approved or not-approved, with any conditions. Conditions could include special reporting requirements. For example, a "small" grant that involves a single weekend workshop, does not require quarterly or semiannual progress reporting, so the RC might just require a completion report, and attendance by the RGM for part of the activity.

3.6 The Grant Agreement and TOR

Step 3: Notification, contracting, and funds disbursement

- Grant managers will notify all CSOs of the RC decision.
- Approved CSO projects will sign contracts
- Disbursement of funds

LRC will prepare, sign and send each winning CSO a grant agreement for signature. The grant agreement will include the winning proposal as an attachment. The grant agreement form will be decided by LRC and will minimally include:

- Starting date, implementation period and ending date
- The grant amount
- Reporting and payment arrangements
- A detailed monitoring plan
- Contact information
- Any specific conditions from the Review Committee
- EU requirements
- Disclaimers

The signed document must be returned before any disbursement of funds. In the event of any disagreements about the contract or TOR, an LRC designated staff person will correspond on behalf of the PEACE project.

If the contract needs to be modified during the implementation period, the grantee will make a formal request to the RGM, who will review the request, and make a recommendation to the Review Committee for their decision.

3.7 Disbursement of Grants

LRC will make disbursements of grants to CSOs. All disbursements will be contingent on a CSO complying with the provisions of the Project Grant Agreement, adequate and timely submission of the required progress reports to LRC, and a written request from the CSO for funds.

There will be three installments of funding for the small and intermediate grants: 50% at signing, 40% at an agreed upon project specific indicator; and, 10% at submission of final completion report. While three tranches is excessive given the size of these grants, the purpose is to give the CSOs experience with the tranche funding process.

For large grants there will be four tranches. (40%: 30%:20%:10%). Like the small and intermediate grants the first and last tranche will be disbursed at the beginning and end of the project; the middle tranches will be distributed based on project indicators. Once again the purpose is to give CSOs an opportunity to use the internal mechanisms to track progress and manage funding.

The second and subsequent tranches depend on the achievement of identified benchmarks which will be specified in the Grant Agreement. The RGM, who monitors these benchmarks, must approve the release of the second and any subsequent tranches. The finance manager must approve the evidence (receipts) that the CSO provides, and receive the RGM approval before disbursing funds. In special cases, after consultation with the RC, LRC may decide that instead of using benchmarks, based on specific project characteristics, that it would be more beneficial to release funds in quarterly or semi-annual tranches.

For all grants, the finance manager will withhold 10% of the total approved grant amount until the CSO submits an acceptable project completion report and financial statement. These reports will be reviewed by the RGM and forwarded to the LRC project manager. The LRC project manager authorizes the final tranche payment to the CSO.

For every project that has a duration longer than 6 months, LRC will prepare and update every six months a schedule of disbursements based on agreed performance indicators reflected in the grant agreements and forwards a request for an advance based on estimated disbursements to the Finance Manager. LRC will report on tranche releases through their periodic financial progress reports. The LRC Finance Manager will arrange for the remittance of the money to the CSO by the most secure, but yet feasible method available. The LRC Finance Manager will document the procedure for each CSO that receives funds.

If part of the grant remains unused when the CSO project is completed, the CSO is required to refund the remaining amount to LRC. If the remaining amount is less than the undisbursed

amount of the grant, the remaining amount will be adjusted against the last tranche. However, if the remaining amount exceeds the undisbursed amount of the grant, the CSO will refund the full amount to LRC within sixty calendar days of the date when the CSO Project Completion Report is submitted, unless LRC shall otherwise authorize, in writing.

There may be times when the payment to the grantee should be suspended. The following reasons are acceptable for withholding payment:

- LRC believes that conditions have changed such that the project is unlikely to achieve its original objectives
- Proper supporting documents have not been supplied by the grantee
- LRC needs clarification, or verification of any documents
- LRC has doubts about eligible expenses and needs to verify
- LRC believes there is fraud or corruption involved
- LRC believes that obligations under the grant agreement have been breached

It is important that grant funds are used for purposes described in the CSO's approved proposal. If it is found that the grant is not being used as intended and appropriate remedial steps are not being taken by the CSO, LRC can cancel the remaining tranches of the grant. If LRC finds that grant funds have been willfully misused by the CSO, LRC can seek a full refund of the grant

3.8 Grievance Reporting

There are three paths for someone to make an official complaint: (i) through the RGM, (ii) directly to the LRC project manager or (iii) to the Helvetas Country Manager. Depending on the nature of the grievance, individuals and organizations can pursue the solution channel they deem best. The choice is up to the person filing the complaint. Examples of complaints that may need to be directed to Helvetas directly include:

- a) Complaints about the proposal selection process
- b) Complaints about LRC staff involved in the process
- c) Complaints about the general program

Official complaints to Helvetas must be made in writing or by phone. The number to file a complaint will be given by Helvetas.

In general, the RGM will receive most complaints directly. The RGM should make every effort to resolve issues before they become official complaints. Complaints do not have a standard format, but all complaint submissions, either verbal or in writing, must be acknowledged by a return call to the person filing the claim, within one day of receipt of the complaint by the RGM.

The person filing a complaint can opt to make a complaint anonymously. Every effort should be made to ensure the security of any person making a formal complaint, by protecting that person's identity (if they wish) and by keeping the content confidential.

For complaints where the person identifies themselves, a follow-up response, after an investigation, must be made within five business days.

All complaints must be logged by Helvetas and by the RGM, and a summary of the complaint along with a resolution sent, in a Complaint Summary Report (see [annex 5.12](#)), to the LRC project manager every month.

3.9 Changes to the Operations Manual

The Review Committee has the authority to make changes to the Operations Manual. The RC will designate one person at LRC with the responsibility to consolidate any approved changes and to maintain the revised operations manual. Changes may be suggested as needed by the field staff, and then reviewed by the Committee at each of its review sessions. The Operations Manual should ultimately be maintained in the Myanmar language so that it can be widely read by all staff members at LRC.

4 Monitoring & Reporting

4.1 RGM reporting and monitoring

Step 4: Monitoring and reporting

- Grant managers will monitor project implementation
- CSOs will submit progress reports
- CSOs will submit completion report

The RGM will play a critical role in overseeing and monitoring the implementation of grants. The RGM will monitor CSOs' progress reporting and will review reports to assess if the sub-projects are meeting goals. If not, the RGM will discuss remedial measures with the CSO, while keeping the LRC Project Manager informed. LRC will also assess the CSOs' need for technical assistance advice, training, site visits, etc. to address emerging problems and arrange assistance.

The RGM will arrange periodic progress review meetings with each implementing CSO. For "small" grants there may be only one progress meeting, or just an inception and project-end meeting. Where possible, an RGM will visit each project site on a bi-monthly basis to meet and talk with the grantees (though this may be more frequent in the Yangon region and less often in Northern Shan, given the difficulties of transportation and communication). These visits will enable grant managers to verify that progress is being made on projects and help grantees solve any difficulties they are facing.

The following section explains the various programmatic reports that will be used to monitor the grants process.

4.1 Grant supervision

A checklist prepared by LRC will be provided to a grant manager that details all the supervision responsibilities. LRC will create this checklist.

4.2 CSO reporting and monitoring

Each Grant Agreement requires that a CSO submit financial and progress reports.

For projects lasting longer than six months, The CSO will submit financial and progress reports to the RGM within 30 days after the end of each calendar quarter, (i.e., March 31, June 30, September 30 and December 31). The RC may modify these requirements on a case-by-case basis at the time of proposal approval, if they believe that another time frame is appropriate. This requirement will most likely only apply to large grants since the small and intermediate grants may have a very short duration.

The format for the financial and progress reports are available in [annex 5.10](#). In some unusual cases (possibly with larg grants) the RC may require an audit of financial statements. Progress reports will include:

- Actual progress against each of the planned activities in sufficient detail to give a clear indication of how the project is progressing;
- Updated data and information on the performance indicators described in the Project Grant Agreement;
- Descriptions of any problem(s) encountered in project implementation and how it (they) is (are) being resolved
- Details of any modification of the project or its rationale;
- A report on the status of the budget, itemizing all expenditures, certified by the CSO's Finance Officer.

If a CSO's Progress Report identifies significant deficiencies in project implementation, such as the absence of adequate documentation of the use of funds, or possible misuse of other resources, the RGM should first confirm the validity of the evidence presented and, if warranted, share findings with the Project manager at LRC, and the RC. Whenever possible, grievance mechanisms and mediation strategies should be used.

LRC will support the grant recipients to carry out their own monitoring and evaluation activities. According to the PEACE Project proposal, groups forming networks will also be supported with tools and methods for tracking their progress. The tools could include case studies, and reflection activities, as well as the creation of feedback mechanisms for key activities. LRC staff will implement operating procedures to create these tools for any networks that might be created.

4.3 Annual Reports

For grants longer than one year in duration, each CSO will prepare an annual project report. This report will summarize the work done, and can resemble a periodic progress report in format.

LRC will report annually to the EU on the PEACE Program's progress. The partners will provide information as needed on the grants program for this annual report. Broadly, this report will include a review of the Program's progress, substantive findings, emerging issues and the prospects for achieving the Program's objectives. This annual report will be due on or before August 31 of each year (relating to progress up to June 30, starting from 2012).

4.4 Responsibilities by position

The roles and responsibilities of the various staff involved in the grant activity are listed below:

LRC grant managers:

- Local marketing. Disseminating information within the country about the availability of PTF grants under the Program;
- Participating in the CSO training activities
- Distribution of CFPs in remote areas
- Managing Calls for Proposals from CSOs. Collection of proposals
- Scoring proposals. Recommending to the Project Review Committee proposals to be approved, and participating in the PRC selection meetings
- Monitoring the implementation of approved projects; Visits to CSOs
- Reporting of regional efforts. Reporting semi-annually on the progress in the program's development and implementation;
- Organizing workshops to discuss and disseminate lessons from completed projects;
- Conducting analyses of the project completion report to assess the impact on reducing corruption, improving transparency, and enhancing development impact, sustainability and local ownership.
- On demand, preparing reports that describe accomplishments, shortcomings, impact and lessons learned.

LRC grant finance manager or designee:

- LRC management of grant funds disbursements

LRC M&E manager:

- Collection and analysis of CSO M&E reports
- Summary reporting and identification of issues
- Evaluation of CSO projects, especially small grants that are "highly successful"

CSO:

- Participation in two training sessions
- Preparation of proposal
- Implementation

- M&E reporting to LRC
- Preparation of final report

Review Committee:

- Approval of grant proposals
- Grievance reviews
- Review of proposed changes to grant policy
- Review and approval of final evaluation report

Helvetas staff:

- Monitoring program implementation, including reviewing reporting on program implementation progress and expenditure, reporting on the Program’s progress, carrying out site visits as appropriate, and reviewing CSO project completion reports;
- Analyzing lessons learned and other experiences emanating from grant implementation;
- Preparing and implementing a communication strategy for the program;
- Overseeing and implementing dissemination and learning activities, including working with LRC to design and carry out regular workshops on lessons learned; and
- Leading the production of the end-of-project publication

PTFeV staff:

- Assist in grant program design
- Draft grant operations manual
- Mentoring and training of grants manager
- Assessment of grants program
- Final reporting on grant program

PTFeV and Helvetas also have regular reporting obligations detailed in the PEACE Project MOU.

4.5 Summary of required programmatic reports and monitoring activities

Report name	Prepared by	Due when	Sent to whom	Remarks
CSO progress report	CSO	To be set for each project	RGM	
CSO financial report	CSO	To be set for each project	RGM	
CSO annual project report	CSO	For projects longer than one year	RGM	Can resemble progress reports
CSO project completion report	CSO	At conclusion of project (due 45 days after project ends)	RGM	

RGM summary scorecard	RGM	Each proposal cycle (due within 10 business days after each proposal cycle)	LRC project manager	
RGM site visit report	RGM	Bi-monthly site visits to each CSO project	Summary report to LRC project manager.	
RGM progress report summary of current CSO project implementation	RGM	Monthly (the 5 th business day after the month ends.)	LRC project manager	
Review and commentary on CSO project completion report	RGM	At conclusion of each CSO grant (within 45 days after the grant terminates)	LRC project manager	
Annual summary report	LRC	To be prepared within 45 days after 2, and 3 year terms end.	LRC Project manager	

4.6 CSO Project Completion Reports

The Project Grant Agreement requires each CSO to prepare a Completion Report (CR) within 45 calendar days of the completion of the project or by a date specified in the Grant Agreement, whichever is earlier. The report will provide information, supported by relevant analysis, on the extent to which the project succeeded or failed to achieve its original objectives and identify any lessons learned for future guidance.

The completion report should consider the following points:

- ***The realism of the CSO project’s original objectives and design.*** Were the objectives appropriate to the problems being addressed? Were they within the CSO’s capacity to implement? Were the components realistic and consistent with the objectives? Did the CSO follow the advice provided by the Local Partner and the PTF? Was the advice appropriate and useful?
- ***The implementation experience.*** Was the sub-project carried out as planned? Were there significant changes? Did they affect the outcome?
- ***Explanation of recommendations.*** This section should explain any recommendations;
- ***Financial Management.*** The financial section should show how the CSO spent the sub-grant, compared to the agreed budget. Questions that should be considered include: Were proper financial records maintained? Were the funds spent for the purposes intended?

Were the CSO's accounts subject to a proper audit? The statements must be certified as correct and accurate by the CSO's Finance Officer.

- **Program impact.** What did the sub-project accomplish? Did it have any measurable impact? Is this impact likely to be sustainable? Was any measurement of the impact undertaken? Has there been any follow-up, or is any follow up planned? Was there real value added?
- **Institutional development.** Did the sub-project help the CSO enhance its capacity to carry out activities or enable it to strengthen the capacities of communities to carry out activities? Did the sub-grant enable the organization to do things that would otherwise not have been possible?
- **Lessons learned.** What did the CSO feel were the principal lessons learned?
- **Dissemination.** Describe the steps taken by the CSO to disseminate the results of the sub-project.
- **Links to other CSOs.** Describe links to other CSOs' activities, if any.

CSOs should submit the completion report to the RGM who will review the report, make change recommendations, and then submit the final CR to the LRC Project Manager. The Project Manager will ensure completeness and accuracy and suggest revisions where necessary. Since the CR would need the final approval of all three partners, it would be advisable for the LRC to share the CR and consult with the Helvetas and PTFeV Program Managers before making suggestions for revisions. The final tranche of the sub-grant will be released to the CSO after the LRC Project Manager approves the final CR. LRC may post the CR on its website.

4.7 Assessment of grants

LRC will assess each completed project and prepare a concise summary of the lessons learned, issues, and recommendations. The format for this report can be decided by LRC.

There will be mid-term review of the PEACE project done by an external agent. After this review the project partners will decide if any changes need to be made based on recommendations in the report. The evaluation will also be an opportunity for partners to assess their own contributions and what steps may need to be taken to enhance the impact of the action. This participatory evaluation will form the basis of the mid-term report to the EU.

4.8 Management and storage of reports

Ideally, all reports, notes, CSO applications, and all project documentation will be stored electronically by the PEACE Project Manager. LRC will create procedures to ensure that documentation, both physical and electronic, is safeguarded. All files will be maintained by LRC according to EU project requirements.

5 Annexes

5.1 Grant targets based on original proposal

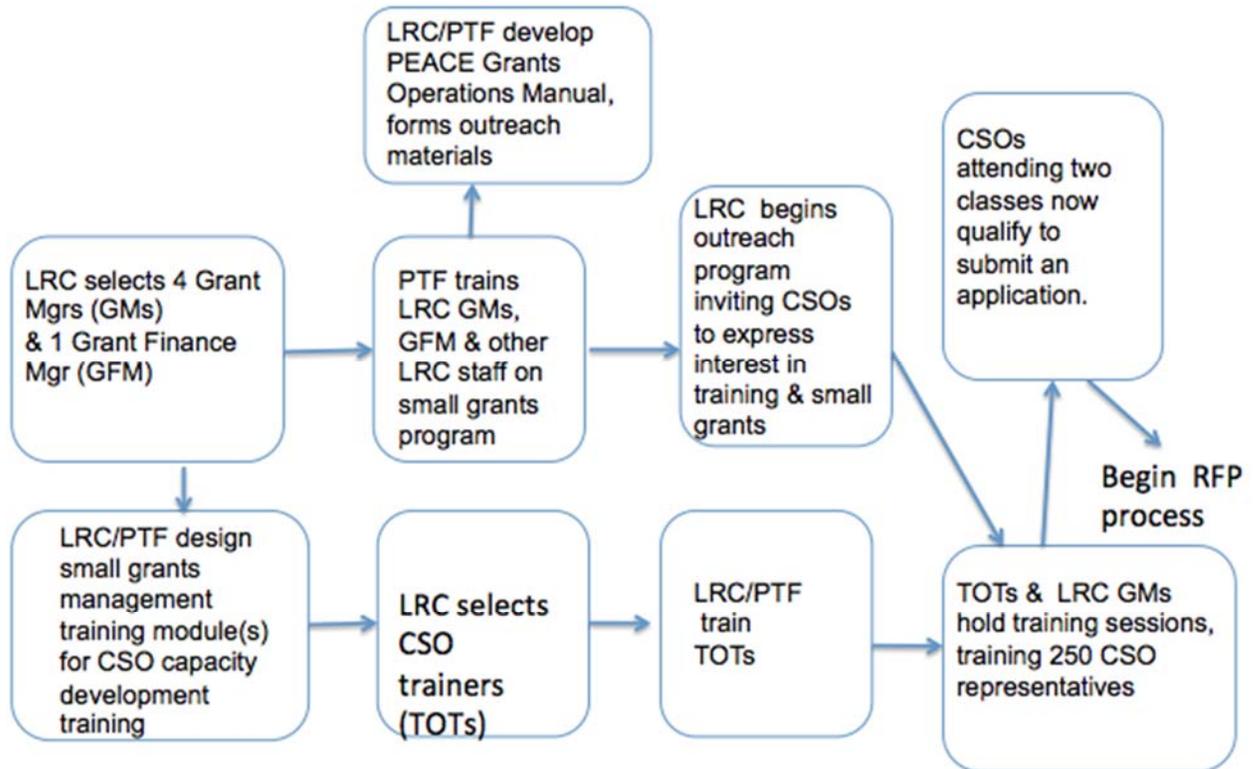
Summary table showing allocation of grants according to the original proposal, before changes were approved by the EU after the first cycle.

LRC Office	Regions included	Total # Small grants	Total # Large grants
Yangon	Yangon	50	2-3*
Mandalay	Mandalay, Magway (dry zone)	50	2-3*
Lashio	North Shan	50	2-3*
Mawlamyine	Mon, Kayin, Tanintharyi	50	2-3*
Totals		200	10

*Because the large grant total cannot be divided evenly among the four offices, two offices will receive three grants.

5.2 Start-up steps to begin small grants program

Preparation & Launch of PEACE Project Small Grants Program



5.3 The timeline for four grant cycles

Timeline for grant cycles with TOT and CSO training																																																	
10-Aug-17 F McNemey PTF		2017												2018												2019												2020											
Calendar year		2017												2018												2019												2020											
Month		M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D				
Project year		Yr 1												Yr 2												Yr 3												Yr 4											
First training and grant cycle																																																	
Annoucmnt of PEACE projects in regional offices and call for TOT EOI																																																	
EOI for TOT collected and TOT selected for first cycle																																																	
Training for 15 TOT including module on grants management																																																	
15 TOTs hold trainings for CSO (multiplier training) incl grants management																																																	
Call for small and large grant proposals (first cycle)																																																	
CSO write and submit proposals																																																	
Grant managers receive proposals																																																	
Grant managers score proposals and send to Review Committee																																																	
Review Committee evaluates and chooses proposals																																																	
CSO signs grant and receives first tranche																																																	
CSO implements small grant																																																	
CSO implements large grant																																																	
Second cycle																																																	
Annoucmnt of PEACE projects in regional offices and call for TOT EOI																																																	
EOI for TOT collected and TOT selected for second cycle																																																	
Training for 15 TOT including module on grants management																																																	
15 TOTs hold trainings for CSO (multiplier training) incl grants management																																																	
Call for small and large grant proposals (second cycle)																																																	
CSO write and submit proposals																																																	
Grant managers receive proposals																																																	
Grant managers score proposals and send to Review Committee																																																	
Review Committee evaluates and chooses proposals																																																	
CSO signs grant and receives first tranche																																																	
CSO implements small grant																																																	
CSO implements large grant																																																	
Third cycle																																																	
Annoucmnt of PEACE projects in regional offices and call for TOT EOI																																																	
EOI for TOT collected and TOT selected for third cycle																																																	
Training for 15 TOT including module on grants management																																																	
15 TOTs hold trainings for CSO (multiplier training) incl grants management																																																	
Call for small grant proposals (third cycle)																																																	
CSO write and submit proposals																																																	
Grant managers receive proposals																																																	
Grant managers score proposals and send to Review Committee																																																	
Review Committee evaluates and chooses proposals																																																	
CSO signs grant and receives first tranche																																																	
CSO implements small grant																																																	
Fourth cycle																																																	
Annoucmnt of PEACE projects in regional offices and call for TOT EOI																																																	
EOI for TOT collected and TOT selected for fourth cycle																																																	
Training for 15 TOT including module on grants management																																																	
15 TOTs hold trainings for CSO (multiplier training) incl grants management																																																	
Call for small grant proposals (fourth cycle)																																																	
CSO write and submit proposals																																																	
Grant managers receive proposals																																																	
Grant managers score proposals and send to Review Committee																																																	
Review Committee evaluates and chooses proposals																																																	
CSO signs grant and receives first tranche																																																	
CSO implements small grant																																																	
Mid term and final review of grants																																																	
Formal review of grants process, policies and operations by "review group" (p12)																																																	
Formal mentoring meetings with LRC grant managers.																																																	
Final report on grant program																																																	
Draft grant operations manual for review																																																	
Draft second revision of grant operations manual																																																	
Revise draft grant operations manual (as needed)																																																	

5.4 Operation steps in the first grant cycle

Summary of Procedures

Steps	Tasks	Timing 2017-2018
1	LRC selects 4 Grant Managers (GMs) and 1 Grant Finance Manager (GFM)	Jan/Feb
2	LRC/PTF develop Ops Manual, forms, procedures and outreach materials	Apr/May
3	PTF trains LRC GMs, GFM and other LRC staff on small grants program	May/June
4	LRC/PTF design small grants management training modules for CSO training	May/June
5	LRC outreach begins inviting CSOs to express interest in training and grants	June
6	LRC selects 50 CSO trainers (TOTs)	June /July
7	LRC/PTF train TOTs	July/Aug
8	TOTs and LRC GMs hold training sessions for up to 250 CSO representatives	Sept/Oct
9	CSOs attend two classes to qualify to submit applications	Sept/Oct
10	LRC outreach inviting registered CSOs to apply for small grants	Oct/Nov
11	LRC receives and evaluates CSO applications; LRC/PTF recommend recipients	Nov/Dec
12	LRC/PTF/Helvetas committee reviews and approves recommendations	Dec
13	LRC distributes first grants	Jan, 2018

5.6 The application package

5.6.1 Application form

(This is the translation of the large grants Myanmar application form. A simpler form used for small and intermediate grants can also be used; however, grant managers should be aware that the applicants need to know the answers to these questions to complete a thoughtful proposal.)

Part 1: Information about the applicant

- Organization's Name
- Year Organization Established
- Background Information of organization including Vision / Mission
- Main activities of organization (list the most important)
- Contact address (contact person, phone #, email, webpage, Facebook, etc.)
- Number of employees (full time: __; part time: __; volunteers: __)
- Annual budget (MMK _____)

Part 2: Project description

Summary of proposal (200 words) (briefly, what do you plan to do and why is this important)

- Project Title
- Project Objective
- Please choose the outcome you want to achieve (choose one or more of the following):
 - Raise citizen awareness of their rights and responsibilities regarding specific activities.
 - Help the community express views and /or advocate in consultation meetings
 - Collect performance feedback on government services and share it with service providers
 - Help citizens' resolve their grievances/complaints using government/donor systems
- Describe the development project, public service or government policy that you want to participate in or influence.
- Target Group (Who will be affected and how many?)
- Target area
- List the activities you want to do, and when you will do them (this is your work plan)
- List any products from your activities (a report, number of people trained, policy change, etc. (choose at least one Output from the list provided in the application guidelines.)
- List any other organizations involved in this project and how they involved
- List any government departments involved in this project and how they will be involved

- Describe any external factor (policy, natural event, laws, and individuals) that could affect your planned activities?
- Indicate how lasting you believe your activities will be?

Part 3: Budget

- Requested amount (use the budget form provided in the application package)

Part 4: M&E

- What changes do you expect (individual, your organization and community) that will result from your activities?
- How will you measure the difference (result) your project made? (Choose at least one Output from the list provided in the guidelines.)
- How do you plan to monitor these changes?

Part 5: Other documents

- Evidence showing the applicant attended two trainings by LRC and PTF
- Previous experience implementing grant activities
- Any other pertinent experience related to the PEACE project objectives

5.6.2 Budget format

Applicant organization name:			Person completing budget:			
Contact cell phone:			Contact email:			
Budget Line	Description	Unit	# Of unit	Total Cost (MMK)	Total Cost (Euro)*	Notes
1	Personnel/ Human Resources					
1.1	Eg: Salaries for Staff					
	Sub total					
2	Operations/ Administrative Costs					
2.1	Travel					
2.2	Utilities					
2.3	Communications					
2.4	Supplies					
	Sub Total					23%
3	Activities Costs					
3.1	Activity 1					
3.2	Activity 2					
3.3	Activity 3					
3.4	Activity 4					
3.5	Activity 5					
	Sub Total					70%
	Total Costs					
	7% Administrative fee					
	Total grant request					

The exchange rate will be specified in the Grant RFC.

5.6.3 Certifications form

I confirm that the CSO, _____ meets all of the following eligibility requirements to file an application for a grant under the PEACE project.

- a) is based in the PEACE project region;
- b) has a demonstrable record of activities of at least one year;
- c) has attended at least 2 training sessions given by the PEACE project;
- d) has registered with LRC
- e) has participated previously in projects in one of the thematic areas (OGP, civic engagement, beneficiary feedback collection, constructive engagement to improve service delivery, and socio-ecological development); and,
- f) has activities that demonstrate complementarity to existing EU-funded projects in the sector and target area where appropriate.

Signature: _____

Name: _____

Organization position: _____

Date: _____

Sample certificate evidencing attendance in an LRC training session:



5.7 Scorecard

Checklist for Scoring Grant Application				
Date		Project Title		
Reference Number:			Points	Total points
Priority 1				
1.1	Summary	clarity	1	6
		Importance	2	
		Understanding	1	
		Possibility	1	
		other	1	
1.2	Objective	clarity	1	9
		completeness	1	
		Related to PEACE	7	
1.3	Target Group	Specific (marginalized groups)	7	7
1.4	Target area	Specific (marginalized groups)	7	7
1.5	Output	Clarity	1	5
		Realistic (is it possible?)	2	

		completeness	2	
1.6	Outcome	Clarity	3	7
		Realistic (is it possible?)	3	
		completeness	1	
1.7	Workplan/Activity details	Clarity	2	10
		Relevant to objective	2	
		Cost effectiveness	2	
		possibility in that time frame	2	
		feasibility	2	
	monitoring	related to the activity	3	9
		possibility in that time frame	3	
		feasibility	3	
	subtotal			60
1.1 0	Priority 2			
	Time period		3	
	Problem analysis		3	

	List any others organization involve in this project and how they involved			7	
	List any others government department involve in this project and how they involved			7	
				subtotal	20
	Priority 3				
	CSO Main Activity	5			10
1	CSO table of the experiences on grant activities	5			
2	CSO Background Information including Vision / Mission	5			10
3				subtotal	20
				Total	100

5.8 RGM summary scores form for Review Committee

Office:			Score⁵	
Date report submitted to RC by RGM:				
Application Reference #	Recommended by Regional Committee for funding (Y/N)	Recommended by RC for funding (Y/N)	Regional committee	Review Committee Yangon

⁵ The total score is the addition of the three individual scores at the regional office level and Review Committee level

5.9 RC approval form with conditions

To
Contact Person/ Responsible Person
Name of Grantee Organization:
Address:
Email:

Date:

Dear Sir/Madam,

We are pleased to inform you that your organization has been awarded a grant under the PEACE project.

The Grant Review Committee has decided to provide small grants and large grants to the following organizations:

Small Grants

Sr. No	Name of Organization	Score	Status	Remark

Large Grants

Sr. No	Name of Organization	Score	Status	Remark

Selection for the grant is based on proposal selection scoring method. Qualified proposals are approved by the Review Committee on behalf of the PEACE project.

Review Committee member (1) Review Committee member (2) Review Committee member (3)

Signature:

Signature:

Signature:

Name:

Name:

Name:

5.10 Progress Reporting Form

Progress Report

Name of the Organization:	
Project Title:	
Project Location:	Project Period:

1. Project Implementation Status

2. Overall Achievements

(List achievements versus target indicators)

3. Partnership

(Partnership/ Networking /Coordination activities within project area with relevant stakeholders)

4. Constraints or Challenges

5. Key Lessons

6. Plans for next quarter

(Refer to the work plan, and note any adjustments)

5.11 Annual Report (if duration longer than one year)

Annual Report

Name of the Organization:	
Project Title:	
Project Location:	Project Period:

- 1. Project Summary**
- 2. Overall Achievements**
(List achievements versus target indicators)
- 3. Contribution toward outcome**
(Explain how the interventions fit into the Expected Results /Specific Objectives / Outcomes)
- 4. Partnership**
(Partnership/ Networking /Coordination activities within project area with relevant stakeholders)
- 5. Success stories**
- 6. Constraints or challenges**
- 7. Key lessons**
- 8. Any impact on organizational development and project management through grant management.**
- 9. Recommendations**

5.12 Complaint Summary Report

Complaints Summary

Name of the Organization:	
Project Title:	
Project Location:	Project Period:

Complaint Details

No.	Issues	CSOs	Regions

Analysis of Complaints

- Problems/Reasons
- Solutions

Action Points

No.	Actions Points to be taken	Responsible Persons	Timeline