



Ministry of Environment, Forest and Climate Change
Government of India



National Mission on Himalayan Studies (NMHS)

Guidelines for Grant Facilities

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National Mission on Himalayan Studies (NMHS)

Guidelines for the NMHS Grant Facilities

Section A-Introduction

The National Mission on Himalayan (NMHS) has introduced Grants as the main vehicle to deliver on-the-ground results for the well-being of the Indian Himalayan Region (IHR) and mountain communities in the region. Projects that are supported by the NMHS Grants are expected to address one or more of the 25 indicative Thematic Areas of Work (TAW) within the context of the NMHS and its Vision, Mission, Goal, and Objectives (**Table 1**). The projects are expected to address well-defined problems identified by comprehensive situation analysis and they should be founded on well-constructed monitoring frameworks with clear objectives and outcomes/impacts to enable potential changes brought about by the projects to be reported on clearly.

There are three types of NMHS Grants, as follows:

1. **Small Grants (SG):** The main aim of the SG is to finance small projects with a total budgetary outlay of not more than 50 lakhs to support strategic and tailor-made local community action for management of IHR ecosystems and their use on a sustainable basis. Small Projects are meant to support local NGOs/agencies/individuals, which/who are often best positioned to work with local communities and which have a good understanding of local ecological and social-institutional conditions.

SG implementation follows a strategic approach by targeting a well-defined geographic and/or thematic area prioritised by the NMHS Scientific and Technical Advisory Group (STAG) with the long-term view to develop the resilience of ecosystem-dependent mountain communities. As an overarching principle, small projects shall be problem-oriented and shall remain rounded and linked with the realities and needs of local communities.

Apart from providing direct environmental and livelihood benefits locally, SG projects are expected to also offer tangible 'models' to inspire policy-making and they should include concrete measures to ensure participation, Gender Equality and secure livelihoods for marginalized groups. In this way, SG projects will help in linking the household and community level to the dynamics of policy and decision-making about coastal area planning and investment.

2. **Medium Grants (MG):** The main aim of MGs is to support medium projects that can be used to build on and/or to expand successful projects with a total budgetary outlay of not more than 500 lakhs and are expected to reflect the multi-sectoral and partnership-based characteristics of NMHS and to address two or more TAWs in an effort to examine more complex and often multi-disciplinary issues affecting mountain ecosystems as prioritized by the NMHS.

It is the intention that the MG should contribute significantly to building the resilience of ecosystem-dependent mountain communities by addressing specific resilience parameters from either the ecosystem, or societal system, or both. Preferably there should be spatial mapping/planning data available and the location should be large enough to be important at the ecosystem level, containing significant mountain habitats and resources and/or biodiversity.

3. **Large Grants (LG):** The LG will be used as a mechanism to address long-term multi-site, ecological monitoring trans-boundary issues in IHR issues spanning over two or more states/countries to consolidate existing knowledge, especially relevant to mountain resources management and to conduct research on emerging issues to acquire new

knowledge. LGs are projects that with total budgetary outlay of over 500 lakhs.

All projects supported by the NMHS Grants are expected to address the NMHS crosscutting themes **climate proofing, gender equality and communication** as follows:

- **Climate Change:** The projects must take into cognizance the likely impacts of climate change and climate variability including climate-related problems already encountered or likely to be encountered at the local level (defined by the project system boundary) and the likely climate-driven impacts on the system. The Projects must include a strategy to identify and address these impacts to ensure that interventions are climate proofed.
- **Gender Equality:** The projects should take into account gender equality aspects. Special attention should be paid to differences between men and women with respect to: access to and use of resources (including but not limited to, generation and use of income); observed practices and patterns of participation in decision making; social beliefs and perceptions; laws, policies, and institutions that may affect men and women's participation in the project.
- **Communications:** The projects should include its communication strategy, including the audiences' present awareness level, current practices, media preferences and demographic/psychographic profiles, identifying the target audiences and interrelationships between each communications take holder/ target audience group, defining communication objectives, formulating key messages which are important to communicate to audiences, and selecting media which will best assist you to achieve objectives and desired relationships.

As key consideration in all NMHS Projects is that information generated from the projects should be freely available for dissemination. Thus, it is required that the Grantees will provide NMHS unhindered access to all information (written material, sound and video recordings, including films, maps, photography, and any other materials in any other medium) generated by the project. NMHS also encourages the Grantees to freely disseminate all information amongst the project stakeholders and the general public.

The following sections provide guidelines for the application, design and planning, and award of projects under the NMHS Grant Mechanisms.

Table 1 Indicative list of broad Thematic Group and identified thematic areas to be covered under NMHS

S. No	Broad Thematic Group	Identified Thematic Areas
1.	<i>Sustainable management of land and water resources</i>	<ul style="list-style-type: none"> • Conservation, sustainable use and equitable benefit sharing arising out of use of natural resources • Water Management and Soil Conservation including recharge of groundwater and aquifers, etc. • Study/ Inventory of Springs in the IHR • Wetlands

		<ul style="list-style-type: none"> • Restoration/ Regeneration of pastures and grasslands
		<ul style="list-style-type: none"> • Natural resources accounting
		<ul style="list-style-type: none"> • Key resources sharing issues at local, upstream-downstream and transboundary scale
2.	<i>Environmental assessment & management</i>	<ul style="list-style-type: none"> • Long term ecological/environmental monitoring
		<ul style="list-style-type: none"> • Carrying capacity and Product life cycle analysis
		<ul style="list-style-type: none"> • Sustainable tourism including eco-tourism
		<ul style="list-style-type: none"> • Waste management, including management of hazardous substances
		<ul style="list-style-type: none"> • Role of traditional institutions in environment protection and development
		<ul style="list-style-type: none"> • Natural and manmade disaster risk reduction
3.	<i>Conservation and sustainable use of biodiversity</i>	<ul style="list-style-type: none"> • Conservation of genetic resources of rare, endemic, threatened and globally significant flora and fauna including agro-biodiversity(on farm and off farm conservation)
		<ul style="list-style-type: none"> • Invasive alien species (IAS)
		<ul style="list-style-type: none"> • Multi-purpose trees and other flora: their biology and uses
		<ul style="list-style-type: none"> • Non-timber forest produce (NTFPs), medicinal and aromatic plants, and other high value niche products from the region
4.	<i>Sustainable infrastructure & Energy security</i>	<ul style="list-style-type: none"> • Environmental compatibility of infrastructure development including border roads and climate resilience of core infrastructure and basic services delivery assets
		<ul style="list-style-type: none"> • Energy efficiency, and conservation
		<ul style="list-style-type: none"> • Strengthening of the existing institutions in the region

		<ul style="list-style-type: none"> • Sustainability issues of urban agglomerations
5.	<i>Supplementary livelihood options</i>	<ul style="list-style-type: none"> • Supplementary livelihood options for local communities and other rural population
		<ul style="list-style-type: none"> • Various facets of Organic Agriculture including value addition, Geographical indications, etc.
6.	<i>Awareness and capacity building</i>	<ul style="list-style-type: none"> • Options for education, awareness and outreach
		<ul style="list-style-type: none"> • Human capacity building including promotion of micro-enterprises and green technologies

Section B- Guidelines for Small Grant (SG) Projects

1. Eligibility Criteria for SGF Projects

- 1.1 The maximum value of Small Grant projects shall be up to INR 50 lakhs. However, the STAG may decide to have a reduced upper limit depending on the situational context.
- 1.2 Ideally, SG projects should be of **3 to 5 years** duration.
- 1.3 Based on NMHS's Guiding Principle that all projects under it and other activities must be partnership-based, all projects should have two or more partners and preferably the partnership should involve partners from different sectors of society: e.g. an NGO or CBO with a government department, university, research institute or private company, etc. The roles and responsibilities of each partner should be explained clearly in the proposal.
- 1.4 Development of the project proposal should be done in partnership with the local community. The proposal must show that the project (a) will not adversely affect the positions of the various stakeholders, (b) seeks to harmonize with the needs, views, expertise and experience of local stakeholders and associate them with the management and (c) is based, whenever possible, on a participatory approach.
- 1.5 Development of the project proposal should be done in partnership with the local community.
- 1.6 The proposal must show that the project (a) will not adversely affect the positions of the various stakeholders, (b) seeks to harmonize with the needs, views, expertise and experience of local stakeholders and associate them with the management and (c) is based, whenever possible, on a participatory approach.
- 1.7 The proposals must explicitly integrate the three NMHS crosscutting themes of Climate Change, Gender Equality and Communications.

2. Eligibility of Applicants

Proposals can be submitted by national/local NGOs, CBOs, academic and research institutes, small scale businesses, management boards, enterprises and individuals which/who meet the following criteria¹:

- 2.1 Have been registered (except in the case of individual applicants) with an appropriate national authority for a minimum of two years;
- 2.2 Have demonstrated a proven, or otherwise strong potential capacity to implement participatory and community-based projects in one or more relevant fields including: community development, mountain ecosystem rehabilitation, and conservation/sustainable use/management of natural resources;
- 2.3 Have scientific or professional credibility, as recognised by the peer review process;
- 2.4 Can demonstrate capacity and experience in project management and financial administration;

¹ Although Ministries and Government Departments are ineligible for direct financial support, the Eligible Applicants listed above (i.e. NGOs, CBOs, academic and research institutes, small scale businesses, management boards and enterprises) are encouraged, to partner with Ministries and Government Departments, wherever appropriate

- 2.5 A proponent who has been a recipient of a previous grant can be awarded another grant only after successful completion of the previous project, evidenced by approved final technical and financial reports;
- 2.6 Proposals from academic and research institutes must demonstrate the applied nature of the research proposed and clearly indicate how the local communities are involved.
- 2.7 The proponents must successfully complete a Due Diligence check undertaken by the NMHS.
- 2.8 The proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 5% of the total value of the project.

Limitations on Eligibility:

The SG will **NOT** grant financial support to:

- Pure scientific research falling in the mandate of Department of Science & Technology, Ministry of Earth Sciences, Ministry of Agriculture & Cooperation and Department of Biotechnology;
- Travel and subsistence assistance for participation of non-official members in conferences and courses, unless they are organized within the NMHS region and it can be justified as a vital and integral contribution to the activities of the project and/ or to prioritized regional knowledge sharing;
- Proponents who have defaulted previously in grant management, or who did not fulfil their contractual obligations, or who had their contracts cancelled.

In case of individuals, we have mentioned in the memo that they may route their proposals through recognized /registered organizations.

3. Operation of the Small Grants

3.1 Call for Applications

Maximum publicity is given to the call for applications through advertising in national/ local newspapers/in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

3.2 Submission of Applications

Interested agencies should submit a brief of project as Concept Note in the prescribed format (**Annex 1**) along with a full proposal, based on a format provided (**Annex 2**).

3.3 Administration, Oversight and Execution

The selected proponent will have to enter into an agreement with PMU-GBPIHED. Project implementation will be managed by the PMU-GBPIHED under the guidance of the STAG.

3.4 Design and Planning the Project

The proposal must be aligned to the priorities identified by the STAG, and should be presented following the prescribed formats (**Annexure I and II**). Projects will be evaluated by identified experts who may recommend revision of project, if required.

The short-listed proponents may also be required to undertake training, if required in Project Cycle Management (PCM) organized by NMHS to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

3.5 SG Project Approval Process

The proposals received for funding through open advertisement shall be sent to the independent experts for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision. Final selection of proposals shall be made at a formal STAG meeting.

3.6 Funding Pattern:

It is proposed to release the total sanctioned amount for an approved project/study/intervention in three instalments.

- i) First Instalment - 40% advance payment against adequate safeguards as applicable.
- ii) Second Instalment – 50% on receipt of satisfactory Interim Report
- iii) Third Instalment – 10% on receipt of satisfactory FTR duly accepted by the competent authority.

3.7 Monitoring, Learning and Evaluation (MLE)

The STAG will regularly undertake MLE missions. Each project will be assessed at least twice during its life, and the Grantees are expected to cooperate with the MLE Team in providing access to the project sites and other information as requested. In addition, the PMU will arrange a mid-term evaluation of project implementation.

3.8 Reporting

The Grantee shall make periodic progress and financial reports (Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

3.9 Audit

NMHS may initiate an internal or external financial audit during or after the completion of project implementation.

Section C- Guidelines for Medium Grant (MG) Projects

1. Eligibility Criteria for MG Projects

- 1.1 The value of medium grant projects shall be more than INR 50 lakhs and up to INR 500 lakhs.
- 1.2 The period for a medium project shall be 3 to 5 years.
- 1.3 Development of the project proposal should be done in partnership with the local community. The proposal must show that the project (a) will not adversely affect the positions of the various stakeholders; (b) seeks to harmonise with the needs, views, expertise and experience of local stakeholders and associate them with the management; and (c) is based, whenever possible, on a participatory approach.
- 1.4 The proponents are expected to provide co-financing from themselves or from partners in the form of either cash or in-kind contributions, equivalent to at least 10% of the total value of the project.
- 1.5 The proposals must explicitly integrate the three NMHS crosscutting themes Climate Change, Gender Equality and Communications.
- 1.6 In general, purchase of capital assets is not allowed, unless it can be justified as a vital and crucial tool for implementation of the project activities.

2. Organisational and Institutional Criteria

- 2.1 The MG is open to all sectors (including Ministries and Government Departments).
- 2.2 Two or more partners should be involved in the implementation of the proposed project, with the lead partner clearly indicated; the existing (or potential) working and communication arrangements between the partners should also be explained clearly.
- 2.3 The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government where relevant).

3. Operation of the Medium Grant

3.1 Call for Applications

Maximum publicity is given to the call for applications through advertising in national/ local newspapers/in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

3.2 Submission of Applications

Proponents should submit a brief of project proposal as a Concept Note in the prescribed format (**Annex 3**) along with a full proposal based on a format provided (**Annex 4**).

3.3 Administration, Oversight and Execution

The selected proponents will have to enter into an agreement with the PMU-

NMHS. The projects will be managed by the PMU-NMHS for CS-I Division while implementation will be overseen by the under the guidance of the STAG.

3.4 Design and Planning of Proposals:

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented following the prescribed formats. The short-listed proponents may also be asked to undertake training in Project Cycle Management organized by NMHS to ensure that objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

3.5 MGF Project Approval Process

A peer review/ external evaluation of the proposals will be done by thematic experts or thematic Working Group of STAG. The Working Groups may also have co-opted experts as necessary. The recommendations of these appraisals will be used for further improvement of the proposals, as required.

The proposals received for funding through open advertisement shall be sent to the independent experts for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee/ thematic working groups for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision. Recommended proposals, when endorsed by the STAG, will be approved by the Steering Committee. PMU-NMHS will enter into a contract with the proponent.

3.6 Funding Pattern:

It is proposed to release the total sanctioned amount for an approved project/study/intervention in three instalments.

- iv) First Instalment - 40% advance payment against adequate safeguards as applicable.
- v) Second Instalment – 50% on receipt of satisfactory Interim Report
- vi) Third Instalment – 10% on receipt of satisfactory FTR duly accepted by the competent authority.

3.7 Monitoring, Learning and Evaluation (MLE)

NMHS PMU shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of at least one STAG Member, and one CS-I Division/ PMU representative. Additionally, CS-I Division may co-opt other national or international experts. In addition, STAG shall undertake MLE missions in between those led by the NMHS. The Grantee is expected to assist the MLE missions by providing access to the project sites and other information, as requested.

3.8 Reporting:

The Grantee shall make periodic progress and financial reports (Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

3.9 Audit:

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

Section D- Guidelines for Large Grant (LG) Projects

1. Eligibility Criteria for LG Projects

- 1.1 The value of Large Grant projects shall be more than INR 500 lakhs. A higher upper cap may be defined and approved by the STAG and NMHS based on the requirements of specific project proposals.
- 1.2 The time period for a LG project shall 3 to 5 years.
- 1.3 Projects have to be in line with and complementary to the overall Vision, Mission, Goals, and Objectives of the NMHS and have clear relevance to the TAW and the strategic action plans of the participating states/countries.
- 1.4 Large Projects must involve interstate/ transboundary initiative between at least two IHR states.
- 1.5 The proponents should have sound financial and operational structures and be able to provide and enlist significant co-financing and other tangible commitments from its partners. The co-financing in the form of either cash or in-kind contributions shall be equivalent to at least 20% of the total value of the project.
- 1.6 The proposals must explicitly integrate the three NMHS crosscutting themes Climate Change, Gender Equality and Communications. In particular, proposals for regional projects should have a clear knowledge dissemination strategy including mechanisms to take up the results and disseminate those in the multi-state context.

2. Operation of the Large Grants

2.1 Call for Applications

Maximum publicity is given to the call for applications through advertising in national/ local newspapers/in websites/circulation amongst established networks/display in public sites, etc. It is also proposed to obtain project proposals by organizing regional project evaluation workshops/meetings with the aim of providing equal opportunities for Institutions/individual experts from different parts of the Himalaya.

2.2 Submission of Applications:

Proponents should submit a brief of project proposal as a Concept Note in the prescribed format (**Annex 3**) along with a full proposal based on a format provided (**Annex 4**).

2.3 Administration, Oversight and Execution

The selected proponent will have to enter into an agreement with the PMU-NMHS. The LG will be managed by the PMU-NMHS, guided by the STAG.

2.4 Design and Planning the Project:

The proposal should be based on a clear problem identification following a comprehensive situation analysis, and should be presented following the prescribed formats. The short-listed proponents may also be asked to undertake training in Project Cycle Management organized by NMHS to ensure that

objectives and outcomes of the proposed project are clearly defined and presented following the NMHS standards and requirements.

3.5 LG Project Approval Process

A peer review/ external evaluation of the proposals will be done by thematic experts or thematic Working Group. The Working Groups may also have co-opted experts as necessary. The recommendations of these appraisals will be used for further improvement of the proposals, as required.

The proposals received for funding through open advertisement shall be sent to the independent experts for evaluation by the Institute. The evaluation report of the experts in respect of project proposals received through open advertisement and report of the expert committee/ thematic working groups for the project proposals evaluated in the project evaluation workshops/ meetings shall be placed before the STAG which may invite the project proponents for making presentation of the project before taking any decision. Recommended proposals, when endorsed by the STAG, will be approved by the Steering Committee. PMU-NMHS will enter into a contract with the proponent.

3.6 Funding Pattern:

It is proposed to release the total sanctioned amount for an approved project/study/intervention in three instalments.

- vii) First Instalment - 40% advance payment against adequate safeguards as applicable.
- viii) Second Instalment – 50% on receipt of satisfactory Progress Report
- ix) Third Instalment – 10% on receipt of satisfactory FTR duly accepted by the competent authority.

3.7 Monitoring, Learning and Evaluation (MLE)

NMHS shall arrange MLE missions at six-monthly intervals. The MLE team will be comprised of the relevant STAG Members, and one PMU-NMHS/ CS-I division representative. Additionally, NMHS Secretariat may co-opt other national or international experts.

3.8 Reporting:

The Grantee shall make periodic progress and financial reports (Utilisation Certificates (UCs) as outlined in the Sanction/ Agreement. These will be used for project monitoring and as a basis for grant disbursement.

3.9 Audit:

NMHS may initiate an internal or external financial audit during or after completion of project implementation.

Annexure 1

Template for Concept Note- Small Grant

[May be prepared either in English or in a local language]

The Concept Note should be a maximum two (2) page (excluding the “Information on the Proponent Organization”) (Annex 5).

1. Project title should reflect the work of the project.
2. Name of the Organisation
3. Project idea (please provide short statements on the following questions)
 - (a) What is the current situation, and the problem(s) to be addressed?
 - (b) What are the main causes for this problem? Which of these causes does the project address and what is the rationale behind this choice?
 - (c) Where did the idea for the project originate?
 - (d) Are there other organisations working on the same problem in the project area?
 - (e) What would be the project’s Objective, Results (= Outputs) and deliverables
 - (f) Who will benefit from the project?
 - (g) What are the main changes expected by implementing the project that will benefit the status of the ecosystems and/or people dependent on the ecosystems?
4. Where will the project be implemented?
5. Relevance to the NMHS criteria and the priorities indicated in the Call for Application
 - (a) How would the project relate to the NMHS Programmes of Work?
 - (b) How does the project address priority issues identified in the Call for Application (please refer to the Call for Application made by the PMU-NMHS)?
 - (c) How would the project address the cross cutting themes [climate change, gender equality & communications]? [see Section A of the Guidelines]
6. Project duration (months)
7. Project Management
 - (a) Provide a brief statement on how the project will be managed.
 - (b) List the Partners involved in project implementation and their roles and responsibilities.

Partner	Roles and Responsibilities
(i)	
(ii)	

8. Budget (local currency):

Total Budget	Financing Plan		
	Request from NMHS	Grantee Contribution	Other Contributions

Annexure 2

Template for Full Proposals – Small Grant

(The entire document should not exceed 15 pages)

- 1 Project Summary: a brief statement of the problem, Objective(s), Results, main Activities and the 'change' sought by the project
- 2 Introduction
 - 2.1 Rationale of the project: Situation Analysis, Main problem(s) to be considered
 - 2.2 Context: Geographical context; climate, altitude, main ecological and socio- economic characteristics; policy context: relationship to national policies; community context
 - 2.3 Description of project area: Include map and coordinates of project areas
- 3 Project Description
 - 3.1 Project's Framework: Please provide a frame work of the project, which should reflect the following:
 - Goal (long term vision) towards which the project will contribute;
 - Objective(s) of the Project that will be achieved by the project;
 - Methodology and expected results that will contribute to each Objective together with Indicators;
 - Key activities that will help achieve the Results, including deliverables.
 - 3.2 A narrative of the Key Activities: This section should provide the details of how activities will be carried out, and should include the methodologies. This description should follow the following format:

Key Activity	Description on how it will be done, with whom etc.
Result #1:	
Activity1.1	
Activity1.2	
Result #2	
Activity2.1	
Activity2.1	

- 3.3 Benefits and Beneficiaries: What are the expected benefits of the project, and who are the beneficiaries, and how many are they? (Specify numbers); highlight any livelihood linkages, if any.
- 3.4 Participation of local people and communities: Participation of local stakeholders including women and specific disadvantaged group, if any, in the project planning and implementation.
- 3.5 Cross-cutting themes: Describe how would the project address the crosscutting themes [climate change, gender equality & communications]? [See Section A of the Guidelines].
- 3.6 Project's risks, if any, and mitigation plans: Describe briefly the project's risks and how these are to be managed.

- 3.7 Work-plan: Please provide a time frame in a Gantt chart as below, for each activity; the project should start immediately after the contract is signed. If there is special seasonal requirement (for example monsoon) it should be clearly expressed here.

Activities	Months																
	1	2	3	4	5	6	7	8	9	10	11	Etc.				36	
Activity1.1																	
Activity1.2																	
etc.																	

- 4 Project Management:
- 4.1 Management: How will the project be managed (institutional structure, other organizations involved)? If other organizations are involved, describe the responsibility of each partner and how they will work together to achieve the project objectives.
- 4.2 Monitoring, Learning and Evaluation: How and when will the internal monitoring and evaluation take place? What is the process for capturing the lessons from the project? What is the situation about the baseline of the Indicators? If the baseline is not available, what is proposed to generate the baseline?
- 5 Continuation of project activities: Exit strategy/ Phase-out mechanism and how project results will continue to be sustained after the funding ends.
- 6 Budget: Create a detailed Results/Activities-based budget; this budget should also include co-financing, both cash and in-kind. The budget should contain all direct costs relating to activities; the management component should not exceed 10% of the total budget.
- 7 Proponent Description: In addition to the information provided in **Annexure 5**, please provide the following information:
- 7.1. Organisational background: [Up to 150 words]
- 7.2. Capacity of the proponent to undertake this work –indicate briefly the roles and responsibilities of proponent’s staff members, their qualifications and experiences for the tasks to be performed.
- 7.3. Prior experience in the related projects: Describe, in 100-150 words for each project, up to a maximum of three projects that have been completed most recently, the Outcomes/Impacts of the projects completed.

Annexure 3

Template for Concept Note: Medium Grant and Large Grant

The Concept Note should be a maximum of six (6) pages (excluding the “Information on the Proponent Organization”) (**Annexure 5**).

1. Date of Proposal Submission
2. Project Title: Should reflect the work of the project.
3. Project Site: As specific as possible, attach a general map, as applicable.
4. Project Scale: National/ regional
5. Implementation agency: Name and Address of the Organization
6. Implementing partners: with a brief description of their roles and responsibilities
7. Authorized representatives from Implementing Agency: Name and designation of a key person from the Organization.
8. Project start date: DD/MM/YY
9. Project duration: In years, (From 3 to 5 years)
10. Brief Project description (as elaborated below):
 - (a) Rationale of the project: A detailed Situation Analysis, problem identification, justification of why the project is necessary and interventions to be considered to address the problem(s).
 - (b) Context of the project: brief description of ecology, community, policies and climate change concerns, if any. How is the project related to NMHS Programmes of Work and Country priorities?
 - (c) Project description: Please provide the project’s detailed framework which should reflect the following:
 - Goal (long term vision) towards which the project will contribute;
 - Objective(s) of the Project that will be achieved by the project;
 - Results that will contribute to each Objective together with Indicators;
 - Key activities that will help achieve the Results, including deliverables.
 - Roles and responsibilities of project partners, if applicable

Please provide a brief narrative on how the activities will be implemented.

Does the project build on a previous project? If so describe the Outcomes of the previous project and justify the need for the proposed project and how it will strengthen the situation.

- (d) Project Beneficiaries, Outcomes and Impacts: Who are the beneficiaries (identify who and specify numbers) or what are the improvements to the ecosystem? What are the ‘changes’ sought out by the Project? Briefly outline the Outcomes (benefits to the stakeholders/participants) and Impacts (when the benefits to the stakeholders/participants are achieved, what changes in organizations, communities or coastal ecosystems might be expected to

occur).

- (e) Cross-cutting themes: Describe how would the project address the cross-cutting themes [climate change, gender equality & communications]? [see Section A of the Guidelines]
 - (f) Project sustainability: The exit strategy- how will the project's Outcomes be sustained after this funding ceases?
 - (g) Project Risks and Assumptions: Describe potential barriers to the implementation of projects and how they will be overcome.
11. Project Budget: Please provide a frame work budget (in local currency) and financing plan in the following format:

Item	Amount
(a)Activities	
(b)Personnel	
(c)Travel	
TOTAL	

- 12 Financing Plan:

Total Budget	Financing Plan		
	Request from NMHS	Grantee Contribution	Other Contributions
100%	XX%	YY%	ZZ%

Annexure 4

Template for Full Proposals Medium Grant and Large Grant

1. INTRODUCTION

- 1.1 Background
- 1.2 Project context; detailed Situation Analysis, Problem Identification and Justification for the Project
- 1.3 Related projects/other relevant activities
- 1.4 Preparatory activities already undertaken to identify the project
- 1.5 The Project's relevance to NMHS and national priorities

2. PROJECT DESCRIPTION

- 2.1 Statement on the Goal, Project Objective(s), Methodology along with Work plan and Time line (with PERT Chart) and Results, and describe how the Results contribute to NMHS Programmes of Work and other NMHS national priorities; Please provide a time frame in a Gantt chart as below, for each activity; the project should start immediately after the contract is signed. If there is special seasonal requirement (for example monsoon) it should be clearly expressed here.

Activities	Months															
	1	2	3	4	5	6	7	8	9	10	11	Etc.				36
Activity1.1																
Activity1.2																
etc.																

- 2.2 Project Beneficiaries: Who are the beneficiaries (identify who and specify numbers) or what are the improvements to the ecosystem?
- 2.3 A narrative on activities to support the Results, Outcomes and Impacts: What are the 'changes' sought out by the Project? Briefly outline the Outcomes (benefits to the stakeholders/participants) and Impacts (when the benefits to the stakeholders/ participants are achieved, what changes in organizations, communities or coastal ecosystems might be expected to occur).
- 2.4 Strategies to address cross cutting themes (climate change, gender equality and communications)
- 2.5 Inputs required (physical resources, manpower, and financial summary)

3. ASSUMPTIONS and RISKS

- 3.1 Commitment of Stakeholders
- 3.2 Institutional support
- 3.3 Accountability
- 3.4 Sustainability and Replicability: What is the exit strategy- how will the project's Outcomes be sustained after this funding ceases?

4. PROJECT MANAGEMENT and ORGANISATION

4.1 National Level

4.2 Local level(s)

4.3 Procedures for Implementation: In addition to the description of procedures, please also include a narrative on the following:

- a. Implementing partners, including the lead implementing agency; the roles and responsibilities of Partners. The working and communication arrangements between the partners should also be explained clearly.
- b. The proposal should clearly indicate the involvement and roles and responsibilities, if any, of the key stakeholders (including the Government if relevant).

4.4 Financial Management and Procurement

5. MONITORING, LEARNING & EVALUATION

5.1 Internal Monitoring and Evaluation System with indicators and frequency of monitoring;

5.2 A description of the baseline information available, as basis for monitoring

5.3 Capturing learning and dissemination of project's results and outcomes

6. ANNEXES (as appropriate)

- Site description (with maps, photos where relevant)
- Detailed Budget and disbursement plan
- Project organization chart
- TOR/Job Descriptions for all project implementing personnel

Annexure 5

Information on the Proponent Organization

NOTE: Please fill in this form and send it with the Concept Note and Full Proposal

Project Title		
Name of the Organization		
Mailing Address		
Visiting Address (if Different from above)		
Telephone		Fax
Email		Website
Mission and Goal of the Organization		
About the Organization	Registration date Category Contact person Number of staff	
Bank Account details	Account name Bank name Bank address Account No.: SWIFT or other routing code Signatories names	
References	Name, address and Tel no.(Referee1) Name, address and Tel no.(Referee2)	
Projects implemented during the last 5 years relevant to the theme of the current proposal		
Title of the Project	Donor/Amount	Reference(Name/Tel/email)
1.		
2.		
3.		
4.		
5.		