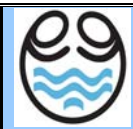


# RWSSP: Technical Advisory Note 1.5 Proposal Writing Guidelines



## Introduction

During the first phase of the programme, approximately fifty proposals were delivered to the RWSSP office in Port Moresby. A further two to three hundred re-drafts were required before thirty-two proposals were eventually approved by the Programme Evaluation Committee. Only one proposal did not require a 2<sup>nd</sup> draft.

The proposal application forms are quite comprehensive and so there were many reasons why so many proposals had to be re-drafted. This advisory note attempts to prevent NSAs from having similar difficulties in writing future proposals.

The EU procedure requires that proposals are written according to a set of guidelines and these are very important in order to achieve a high degree of transparency. This advisory note should be read in conjunction with those guidelines when preparing to write a proposal. This TAN is also supported by a number of more specialised TANs including TAN1.10 Project Planning and Implementation and TAN 1.9 on Expression of Interest and Needs identification.

The Open Call for Proposals Form contains all the elements of a Logical Framework. If you are seeking a Specific Commitment (i.e. a grant over €100,000) you are also required to attach a separate Logical Framework, obviously these should contain the same Results, Indicators, Risks and Assumptions.

This TAN does not cover every single question in the Application form since a number of them are very clear and unambiguous.

## Section I. The Applicant

This section simply provides a brief summary of your organisation and your proposed project.

*Legal Aid Identity Number.* If you have received a grant from the EU before you should have been registered and therefore have a Legal Aid Identity number.

The registration process is currently being reviewed so that for PHASE II all NSAs that apply for a Specific Commitment, i.e. whose proposal exceeds €100,000 must also be registered on the EU PADOR (TAN 1.4) system before they can get a signed contract. You can submit a proposal without this number, but will need one before you

get a signed contract This can be done on- line at: <http://ec.europa.eu/europeaid/onlineservices/pador>

## Section II The Action

### Part 1 Description

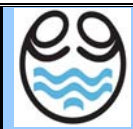
This section describes your project in full. Explanatory details for some of the sections are detailed below. RWSSP acknowledges that for larger projects, where a number of villages are to be covered, it may not be possible to collect the necessary information from all the communities before submission of the proposal. You may not have even finally selected all the project sites. In these circumstances it is important that you make it clear what work has been done and what conclusions you are drawing from this and applying to other areas. Your proposal will not be negatively evaluated if you have not yet completed all preliminary planning activities in all villages. Where this is the case though you must ensure that the anticipated project Results are relevant to the finally selected communities. You will also then need to be particularly careful in your budget preparation to ensure it is accurate. All communities that are selected after the proposal has been submitted must be approved by the Contracting Authority before work can proceed.

**Section 1.3** Record all the locations where you propose to implement the project. We ask for GPS positions since this helps us locate exactly where particular villages are. Call RWSSP PMU if you do not have access to a GPS.

**Section 1.4 Proposed start date and duration.** If your proposal is approved it is unlikely that your contract will get signed until about 2 months after the closing date for submission. Once it has been signed you can start spending money, but funds are unlikely to reach your account for another month. Select a start date which takes these factors into account, as well as additional factors such as how it fits in with the communities seasonal activities, access restrictions if any as well as your own organisational constraints if any.

**Section 1.5 Cost of the project** The Contracting Authority for all Specific Commitments (€100,00 and over) is the NAOs office, for smaller grants (€25,000 – €99,000) it is the Programme Management Unit (PMU). This section asks how much your project will cost, and how much of this are you requesting from the Contracting Authority.

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You cannot claim 100% of the cost of your project from the Contracting Authority. At least 10% of the costs of the materials part of your budget must be paid for by the community, the NSA may wish to meet some of the other costs though this is not obligatory. The total cost of the project is equal to all budget line costs including the 10% community contribution and any other NGO or specific donor funding contributions to this particular project. The amount requested from the contracting authority is equal to all budget line costs but not including the 10% community contribution and not including any other donor funding or the NSAs own funding.

Contracting Authorities % of total cost of project is calculated by dividing the second column by the first.(x 100%)

**Section 1.6 Proposal Summary.** Summarises what Results you plan to produce in order to achieve the Project Purpose of “*Sustainably enhanced access to safe water, improved sanitation use and hygiene behaviour for participating rural communities*”, and how these relate to your organisations goal. The Results are copied from the section 2.5

### Part 2 Justification and Relevance of the Project



This is where you justify your project, and show that it addresses a real and identified need. RWSSP has produced TAN 1.9 which details an expression of interest and needs identification process. If you follow this process it should give you most of the answers for section 1.7

**Section 2.1 Final Beneficiaries** We are interested here in the number of potential project beneficiaries, as well as the tribal/clan dynamics.

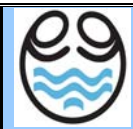
**Section 2.2 Selection of beneficiaries.** This section requires you to describe the process you followed in selecting the communities, and the tools and techniques you used to identify needs. How did you access all relevant members of the community and how did you ensure all relevant opinions were listened to.

**Section 2.3 Identified needs.** What did you discover when you looked at the needs of the communities. Since the Overall objective of RWSSP is to improve health you will need to include here the current health situation in the community and how this can be improved through your actions.

**Section 2.4 Additional reasons/benefits.** RWSSP acknowledges that an improvement in health may not be the only benefit that the project will provides. What additional benefits do you expect as a result of your project?

**Section 2.5 Describe your project Results.** This section asks you to record your Project Results (i.e. what the Project will achieve). The evaluation team will be looking for a very clear logic that all the Results together will lead to achieving the Project Purpose i.e. that if all the Results are achieved, then the Purpose will be met. The section suggests Results which we feel will achieve the Project Purpose although you are not bound by these. You may use these or your own. When identifying Results it is important that you are confident that by completing all the Results you will achieve the Project Purpose. If, collectively, the Results will not achieve the Purpose think again!

These Results, with appropriate indicators (such as when it will be achieved, how much water will be delivered, how much of the population will have access to improved sanitation etc) determine your projects Term of Reference, your deliverables. This is what you will be evaluated against. “*Did you achieve your Results within the time frame*”



*and to budget and did they result in achieving the Project Purpose?"*

**Section 2.7 Value Added.** By this we mean what additional benefits will the project achieve. Will you develop the capacity of a partner or associate? Will you contribute to District development Plans? Will you establish any lasting institutions or organisations that can confer additional benefits? Will you strengthen relations between the range of key stakeholders?

### **Part 3 Methodology and Implementation Process**

**Section 3.1 Methodology/Approach.** RWSSP is not about just implementing a technical water project. If that was the case we could contract an engineering firm to do it for us. RWSSP needs to see that NSAs are working in real partnership with local communities. We need to be sure that the project addresses a real need in a community, that the community are committed to the project and their role in it, and that they accept responsibility for the sustainability of its outputs (improved hygiene, sanitation and water supply). All this requires skilful facilitation to ensure appropriate community participation, involvement and mobilisation, and careful consideration of the diverse needs of different community members. How will you achieve this?

**Section 3.3 Monitoring and Evaluation** What will you be monitoring during the course of the project, and how will this be done. What plans do you have for evaluating the project, how and when?

**Section 3.4 Describe the key stakeholders.** RWSSP has produced Toolkit 7.8 to help with effective Stakeholder analysis and this should help complete this section. Phase II places particular emphasis on networking and partnership in order to improve sustainability so a detailed stakeholder analysis will be essential. A stakeholder is someone, or an organisation, who has an interest in the project. They may support or oppose the project. It is important for project planners to know who the key stakeholders are so that they can be meaningfully included in the project, or their concerns managed effectively. Identify here all possible stakeholders and how you think they may be included.

**Section 3.5 Proposed Team** List all staff positions responsible for implementing the project. This will need to include both volunteer staff and paid staff.

All paid staff should match those that appear in your budget. Some staff may not be involved in the project 100% of their time, so indicate here what percentage of their time is likely to be spent on the project. Positions will most likely include amongst others, a full time Project Manager (located on-site), Community Development worker(s), Water and Sanitation technical expert, Health Co-ordinator and Accountant.

**Part 4 Technical Features of the Project.** The detailed technical specifications of the project need to be worked out with the project technical expert and the community together. You may not be in a position during the proposal writing stage to include this information. What we require here is a broad description of what you propose; numbers of latrines anticipated, types of water supply etc. Enough details for you estimate a suitable budget. Detailed technical specification will need to be included later in your interim report.

### **Part 5 Detailed Description of Activities**

Each Result will require a list of associated Actions to achieve it. Table 2 in section 5.1 asks you to identify these activities. Once again, you will need to check the logic. If you achieve all the activities, will you achieve the Result? The last column in the table asks you to identify who is responsible for each activity, give names (if they have been recruited already) and position. In addition this is the place to start thinking about the role of other stakeholders. You may need to hold a meeting with key stakeholders including Local Level Government in order to discuss their roles in your project- which you would then record in column 3.

### **Part 6 Duration and Implementation of the Plan**

**Section 6.1 Implementation Schedule.** Implementation planning is a key skill of any Project Manager. Not only do you have to schedule all the project activities, you also have to do it according to availability of resources, other stakeholders timeframes, seasonal and possibly electoral cycles as well as donor milestones and the inevitable unforeseen circumstances. TAN 1.10 provides additional information on Implementation Planning and should prove useful for this section.

Table 3 asks you to schedule all project activities. This is a vital tool to assist project managers plan



project implementation effectively, and to monitor implementation, so it is worth spending some time over with those responsible for implementing each activity. We would advise strongly against filling it in arbitrarily just to get the form completed since it can be a very valuable process if done correctly. The PMU will use this information to monitor implementation of your project. The table also includes key milestones to assist in your planning process. You may add additional ones according to your project design.

**Section 6.2 Risks and Assumptions.** We have talked already about project logic i.e. if you achieve all your specified Activities you should achieve your Results, and if you achieve all your Results you should achieve your Project Purpose. Risks and Assumptions are factors which the project cannot, or chooses not to, control, which could impact on implementation. An assumption is something that you assume will happen (“Local



tribal conflict will not upset project activities or outputs “ for example) A risk is something you hope will not happen (“*Local tribal conflict escalates and disrupts project implementation*”) They are often two ways of writing the same thing. The best way to identify Risks and Assumptions is to involve as many stakeholders as possible – certainly members of the community, Local level government, local police, partner or even non partner NSAs. You need people who can look at the project from a range of perspectives and you need lots of creative thought. If a risk is identified that is very likely to happen, and it would have severe consequences on your project – don’t just

go ahead with the project as it is, you cannot ignore the risk, so you have to make amendments to your project design.

## **Part 7 Community Contributions to the project**

### **Section 7.1 community cash contributions**

Communities are required to contribute 10% of the cost of materials for the project. This should come from them and not from other sources such as the NSA or local politicians. It is important to RWSSP that communities demonstrate that they want the project and are committed to it. In addition, by paying for the materials RWSSP feels that communities are more likely to maintain the sanitation and water supply into the future.

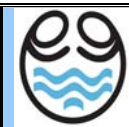
During RWSSP Phase I a number of NSAs struggled to collect the community 10%. Communities claimed not to be able to afford it though this was seldom the real issue. Section 7.1 requires you to identify with the community ways in which the 10% will be raised and to show they are committed to making their contribution. It is a good idea for you to agree a deadline for collection of all money, and to put this as a milestone on your implementation schedule section 6.1. Once this deadline has been reached the NSA needs to make a decision about whether to continue or not. You may wish to make a policy decision on this before the time arrives so you know exactly what to do.

## **Part 8 Expected Results**

**Section 8.1 Quantified Outputs** This is where you actually quantify your expected Results, where you set your targets. It’s where you record how many latrines you will build, how many people will be trained, how many community committees established etc. To be useful each indicator should have a quantity component (how many), a quality component (how well) and a time component (by when) Think QQT. These indicators of achievement represent your project deliverables, what you will leave behind when the project is finished, and each project will be evaluated against these achievements.

Means of verification refers to how you will measure if you have reached your targets or not.

**Section 8.2 Activity Indicators.** As above, how will you measure the achievement of each activity?



**Section 8.3 Expected Impact.** In the previous sections 8.2 & 8.3 you described indicators to show that you had achieved your project Results and Activities. In this section you are asked to record what will be the anticipated impact of achieving all of this. This should relate directly to the Project Objective since that is what the Results are trying to achieve but also to additional impacts.



**8.3.1** talk about the impact on peoples living conditions – the physical benefits expected from the project.

**8.3.2** How have people's knowledge, attitudes and practise to improved hygiene and sanitation changed as a result of the project – how can you show this?

**8.3.3** How have peoples technical and managerial skills been improved so that they can sustain the project outputs.

**8.3.4** How have communities been strengthened to be able to reach decisions and plan on future development activities? Have you established functioning committees, do they meet regularly and take minutes? Have you facilitated effective linkages/partnerships between the community and other development providers and local government

## **Part 9 Sustainability**

Sustainability is a key component of RWSSP. The Evaluation committee will look very closely at how you intend to actively promote sustainability at the Financial, Institutional and Technical level.

## **Part 10 Logical Framework**

This is only required for projects whose budget exceeds €100,000. If you require assistance on aspects of your Logical Framework please contact the RWSSP PMU.

## **Part 11 Budget for the Project**

A separate TAN 1.6 has been prepared to assist in the budget preparation. Remember to prepare the budget last – based on your planned Activities and the staff/resources required to implement them. Your final approved budget represents the maximum sum from EU sources that you are able to spend on this project. If you don't spend it all that is fine, it just needs to be returned. Remember to collect and keep original receipts for all transactions. It is well worth carrying a receipt book around with you.

## **Section III Capacity Assessment**

This section helps the Evaluation Committee make an assessment of your capacity. It looks in some detail at your Organisational capacity, ability to manage funds and experience of implementing projects. It is a rather detailed section, but necessary if the Evaluation committee is to be able to make an informed assessment. RWSSP PMU is available to assist with any particular questions you may have.

## **Section IV Other Applications**

NSAs may only be in receipt of one RWSSP grant at any one time, but this does not exclude them from receiving other EU grants from other projects. No NSA however can be in receipt of two Operational Grants, since these would overlap and there would be duplicate funding.

## **Section V and Section VI Partners/Associates of the Applicant**

The Guidelines to Grant Applications explains clearly the differences between Partners and Associates. Basically, a Partners needs to fulfil the same eligibility criteria as the grant applicant, and in return can receive some of the grant funding. An Associate does not need to fulfil the

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eligibility criteria, but also does not receive any grant funding directly, other than travel costs and per diems.

### Concluding Comments

The aim of this TAN is to provide additional information which may help in completing the RWSSP Grant Application Form. It is supported by a number of other TANS, referred to throughout the text, as well as the Guideline for Grant Funding Applications.

The RWSSP proposal form cannot be completed effectively by individuals sitting in an office. It requires genuine discussion, debate, planning and negotiating with a range of relevant stakeholders in order to come up with a plan that is relevant, appropriate, feasible and sustainable. Successful applicants will be able to demonstrate that they have consulted widely in its preparation, that it responds to a genuine need, that there is a community commitment to the process and that they have developed and scheduled activities to account for possible delays whilst maximising effectiveness and efficiency.



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