



Development Cooperation Development Education Partnership Fair

**Writing a successful co-
financing application**

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Call for Proposals:

Objectives and Priority issues

Objectives of the Call - 1

Global objectives:

- support actions aimed at raising public awareness of development issues
- promote education for development in the EU and acceding countries
- anchor development policy in European societies
- mobilise greater public support for action against poverty and for fairer relations between developed and developing countries
- change attitudes to the issues and difficulties facing developing countries and their people

Objectives of the Call - 2

Specific objectives:

- develop European citizens' awareness and critical understanding of the interdependent world and of their role and lifestyles in relation to a globalised society
- Support their active engagement in global attempts to eradicate poverty, promote justice, human rights and sustainable ways of living

Call 'LOTS'

LOT 1: Global Learning projects in the formal education system

LOT 2: Global Learning projects outside the formal education system

LOT 3: Campaigning and Advocacy projects

Exercise: selection of LOTS in groups

Priorities of the Call - 1

For all 3 Lots - priority will be given for covering **one or more** of these **thematic issues**:

1. Public support to the MDG agenda
2. Policy coherences for development, with focus on:
 - migration
 - trade, especially fair trade
 - microcredit
 - security
 - human rights (including the marginalised)
 - social dimension of globalisation and decent work

Priorities of the Call - 2

Priority will be given for covering one or more of these specific priorities:

For **LOT 1**: Close cooperation with national education authorities where Action will take place

For **LOT 2**: complementarity with existing DE efforts or targeting identified development gaps

For **LOT 3**: a strong European dimension at European level (i.e. concrete results across 15-27 Member States)

Concept Note

Total 50 points!

Total pages - 5

- 1. Summary of the action - 1 page**
- 2. Relevance - max 2 pages 30 points (carried forward to Full Proposal!)**
 - Relevance to the objective and priorities of the Call for Proposals
 - Relevance to target countries, sectors
 - Target groups, their needs and constraints.
 - Elements of added value.
- 3. Description of the action - max 2 pages 20 points**
- 4. Special considerations - over 1 million EUR**

Full proposal - 1

Do not repeat Relevance information in Concept Note

**1.1. Description of the action its effectiveness -
max 14 pages**

1.2. Methodology - max 4 pages

1.3. Duration and action plan - standard format

1.4. Sustainability questions - max 3 pages

1.5. Logical framework - Annex C

2. Budget - Annex B

Full proposal - 2

Total 100 points!



- 1. Financial and operational capacity - 20**
- 2. Relevance (carried over from Concept Note) - 30**
- 3. Effectiveness and feasibility - 20**
- 4. Sustainability - 15**
- 5. Budget and cost-effectiveness - 15**

Sessions to guide project preparation

NOTE: Refers to NSA/LA Call for Proposals 2011-2012 throughout!

- **Session 1:** Identifying stakeholders problems/issues. Setting clear change objectives using the Logical Framework approach. Summarising purpose, expected results, and main activities.
- **Session 2:** Initial risk assessment and assumptions. Refining activities and means. Completing the proposal, including sustainability and tips for budget preparation.

Session 1: Project preparation

Getting the internal logic right

Proposal writing is the tip of the 'Iceberg'

Stage 3: Proposal writing stage

Stage 2: Development of logical framework
Testing the internal logic of the project
Activity scheduling and resource allocation
(initial draft budget)

Stage 1: Basic design stages:
Problem Analysis: Identifying stakeholders, their key problems, constraints and opportunities. Determine cause and effective relationships.
Analysis of objectives: Develop objectives from the identified problems.
Selection of strategies to achieve objectives.
Initial testing of assumptions and risk assessment.

Planning: A logical framework approach

- **Step One:** Stakeholder analysis
- **Step Two:** Problem/needs analysis
- **Step Three:** Analysis of objectives
- **Step Four:** Choice of strategy for intervention

Stakeholders, target groups

Stakeholders: Individuals or institutions that may – directly or indirectly, positively or negatively – affect or be affected by a project.

Target groups: The group/entity who will be directly/positively affected by the project at the specific objective level. They can include partner organisations.

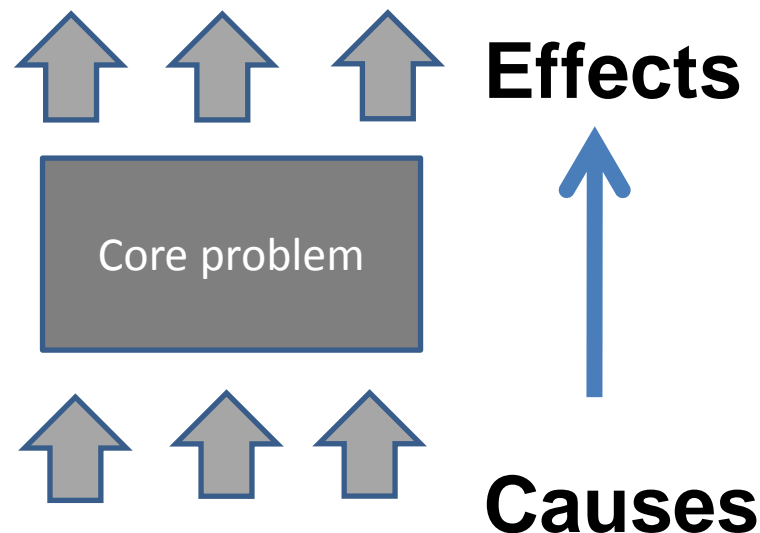
Final beneficiaries: Those who benefit from the project in the long term at the level of society or sector. For example: ‘Children’ who will benefit from improved policies for child protection.

Stakeholder analysis

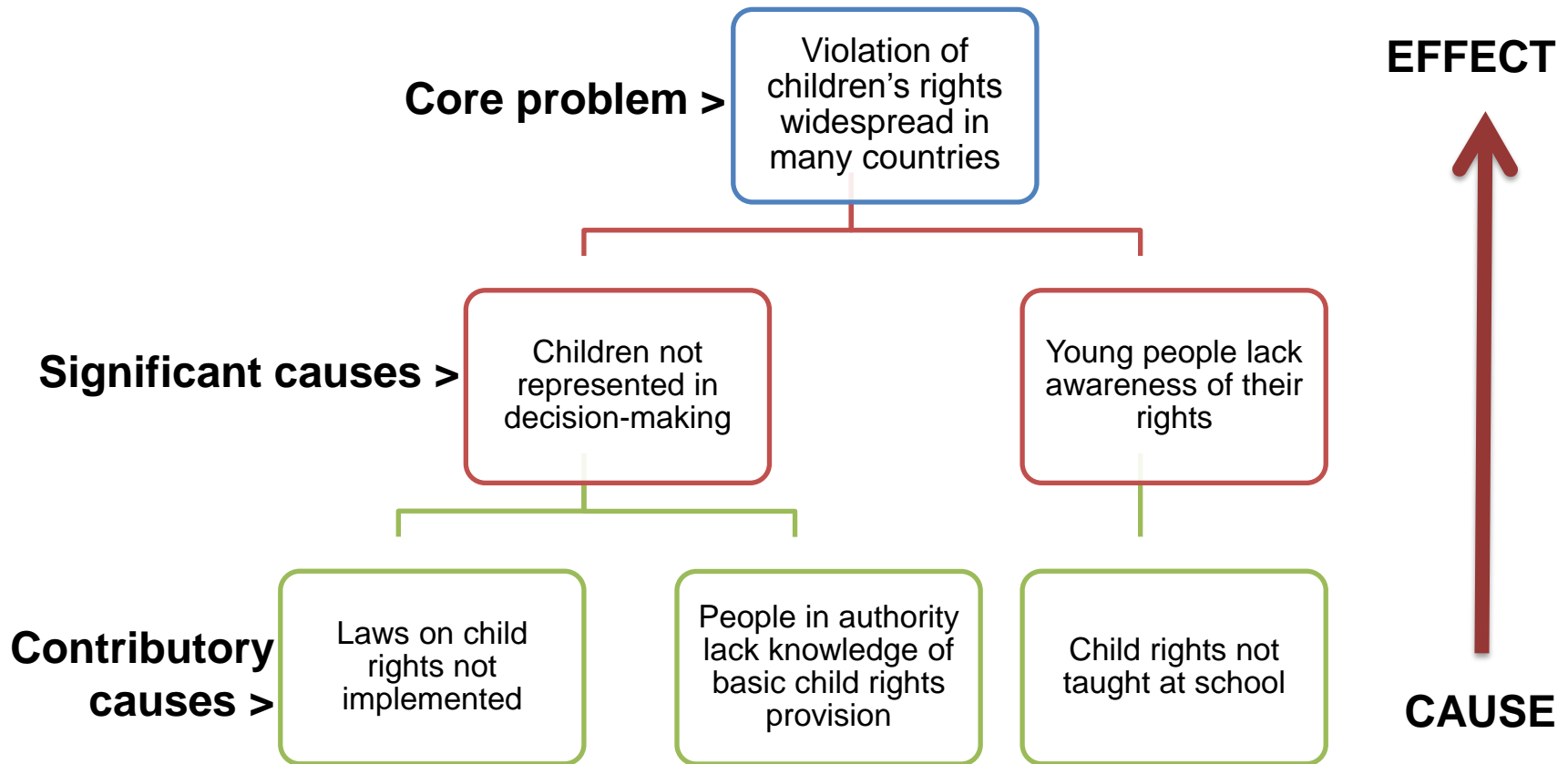
Stakeholder	Needs	Role in the action	Numbers
Trade union organisers in EU member states	Better understanding of MDGs and ways of linking with TU in partner countries Skills to raise awareness of MDGs	Build solidarity in EU member states among trade union members. Link with sister unions in developing countries.	Trade Union branch organisers in xxx provinces in country x
Trade union members.	Better understanding of MDGs and ways of linking with TU in partner countries	Attend meetings and workshops on MDGs	Xxx union members
Partner NGO	Better understanding of working with TUs	Provide skills in awareness raising	1 NGO 10 staff

Problem and situation analysis

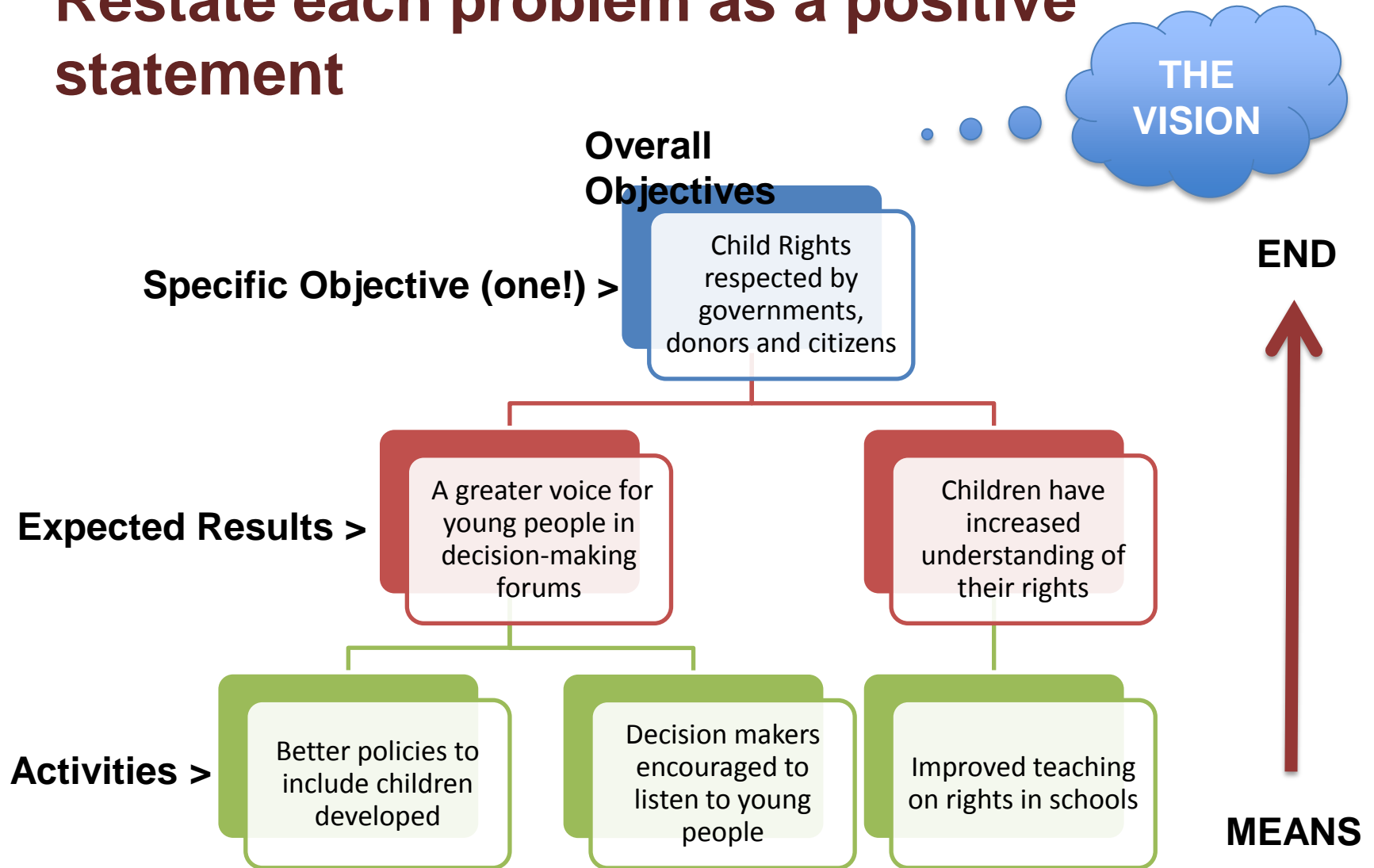
- Use brainstorming and ranking techniques to get to the CORE PROBLEM
- What are the causes of the core problem?
- What are the effects of this core problem?



Problem Tree Analysis



Restate each problem as a positive statement



Analysis of objectives

- Turn problems into objectives to establish a ‘Means’ – ‘End’ relationship
- Reword statements in the problem tree into positive statements showing a the future desired change - or activity that will address the problem
- This then becomes an **objectives tree**



When working on your project ideas, if you cannot decide on the Specific Objective go back to the problem tree and check the **Core Problem**

The Logical Framework – and how it relates to the Theory of Change

Levels of change:

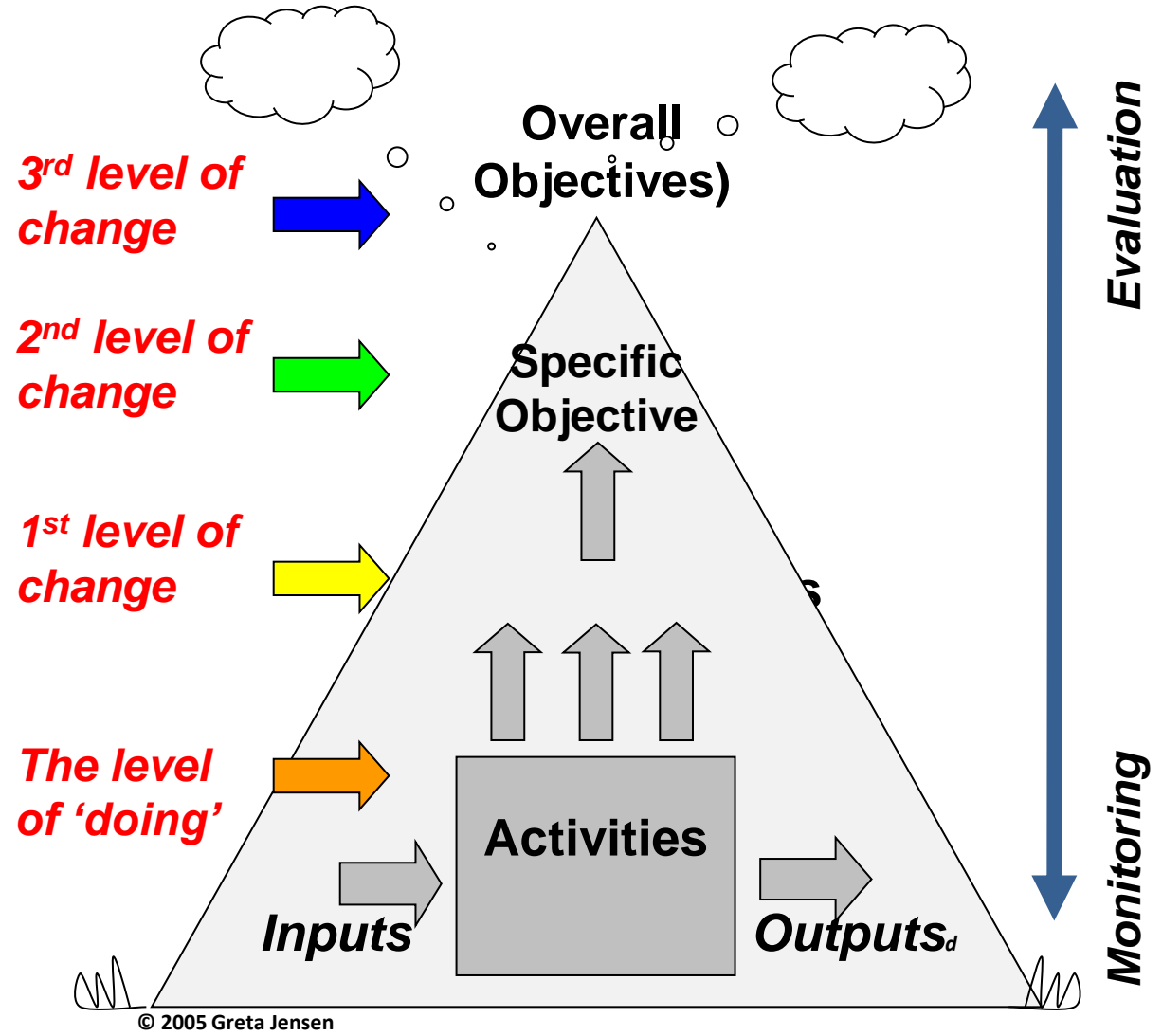
3rd level of change >

2nd level of change >

1st level of change >

Intervention Logic (Project Summary)	Measurable indicators	Means of verification	Assumptions
Overall objectives			
Specific objective			
Expected results			
Activities			

Simple diagram of a project



Logframe definitions

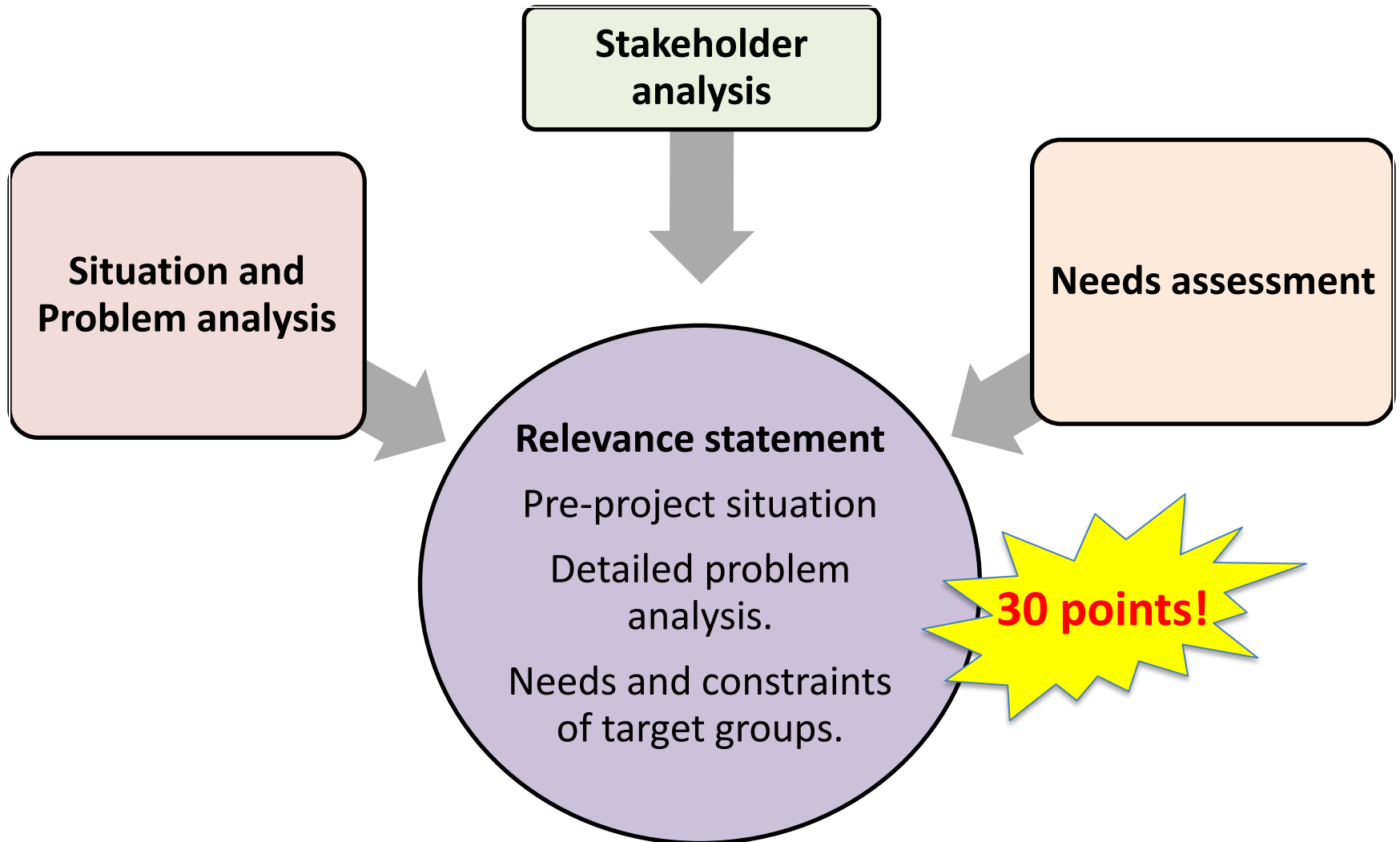
Overall objectives	What is our vision of the future? Broad objectives to which your project will contribute. The project is not expected to achieve these during the lifetime of the project. Can have one or more. They should be in line with the overall objectives as published in the EC Call for Proposals
Specific objective	Where would we like to be in the next 3 (or 4 or 5) years? The positive change that the project intends to bring about in the lives of the beneficiaries Should be more or less within project control, achievable and MEASURABLE by the end of the action (SMART) ONLY ONE specific objective
Expected results	Tangible services/changes in target groups produced by the activities Must be measurable (SMART!)
Activities	What needs to be done to deliver each of the results? Activities should be grouped by result. If there is a lot of overlap, is your hierarchy of results clearly set out?

From Logframe to Project Summary

Intervention logic (Project summary)	Objectively verifiable indicators (OVI)	Means of verification (MOV)	Assumptions
Overall objectives			
Specific objective			
Results			
Activities			

Note: the Summary of the Action may be drawn from logframe column 1

Concept Note: From problem tree to relevance



Session 2: The Full Proposal

**Completing the the Logframe
Describing the Action**

Logical Framework

– how assumptions operate

Intervention logic (Project summary)	Objectively verifiable indicators (OVI)	Means of verification	Assumptions
Overall objectives			
Specific objective			
Expected results			
Activities			
			Pre-conditions

Risk Assessment

- An essential part of project design
- From stakeholder analysis onwards
- Assess each activity for risk – political, environmental, social, economic and physical
- Risks can be assessed as high, medium or low.
- How will the project act to minimise risk? (mitigation)

Assumptions and risks - 1

- Identify external factors that are important for the success of the project
- They summarise factors which the project cannot, or chooses not to control
- They may be factors which the project does not address, but should monitor throughout the project
- Consider whether risks can be mitigated and whether the risk is eliminated or is still a risk, if so:
 - consider additional activities in mitigation (add to activities list)
 - add an assumption statement to cover risk + mitigation

Example of risk

Activity:

Project will recruit
volunteer health
promoters

Mitigation:

Mentoring system:
Community involvement
in selection

Risk:

Volunteers may drop out
after initial training.

Sustainability issue:

Will volunteers continue to
function after end of
project?

Assumptions and risks - 2

Things to consider:

- Stakeholder attitudes and expectations
- Government plans, attitudes and expectations
- Geographic and climatic conditions
- Economic conditions
- Political context

Completing the Logical Framework - Indicators and means of verification

Narrative summary Intervention logic	Objectively verifiable indicators (OVI)	Means of verification	Assumptions
Overall objectives	↑	↑	
Specific objective	↑		
Results		↑	
Activities			
			Pre-conditions

Qualitative and Quantitative indicators

Quantitative – SMART =

Specific, Measurable, Achievable, Relevant, Timetabled

Qualitative – SPICED =

Subjective, Participatory, Indirect, Cross-checked, Diverse

Expected Results and Activities

Concept Note: Description of the action

Max 2 pages

- General information on the background of the action.
- **Describe the objectives of the action.** (Elaborate here on the objectives mentioned in the table in Summary Table.)
- Provide **brief information** on the **type of activities** foreseen and specify related outputs and expected results.
- Indicate the broad timeframe for the action.

Full proposal: Description of the action and its effectiveness

Max 14 pages

- **Elaborate** on expected results.
- How will they improve the situation of the target groups
- How will they improve the technical and management capacity of target groups and partners
- Describe the activities
- Justify the choice of the activity
- **Who will carry it out?**

Describing Expected Results

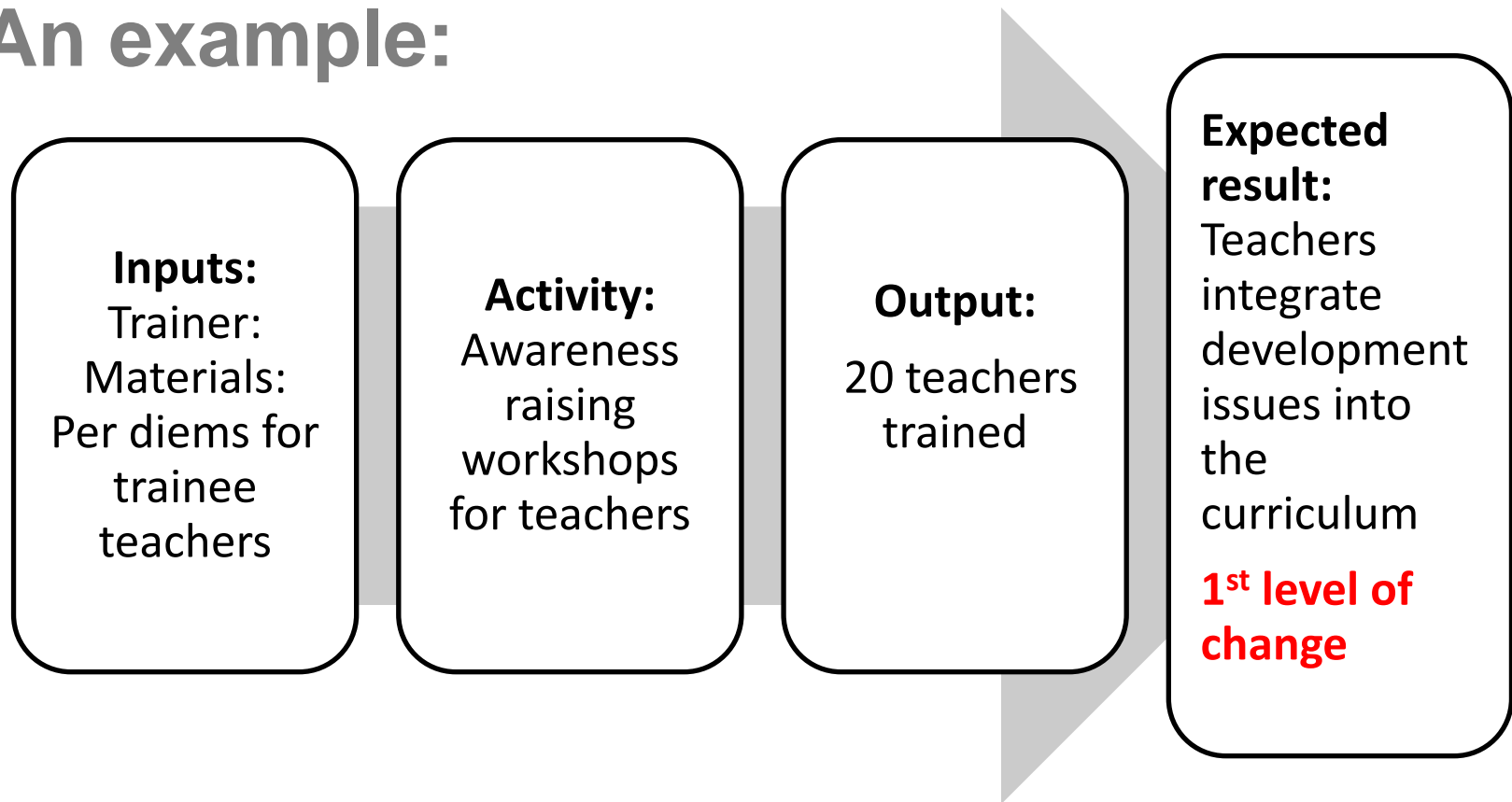
- Describe the future situation.
- What positive changes will the action bring about for the target groups/beneficiaries
- Use the logframe to structure and to define the levels of change (from change in knowledge, to attitudes and practice – KAP)
- Indicators will help to describe results in **SMART** and **SPICED** waysBUT
- DO NOT simply repeat the indicators from the logframe in the narrative



Refer to the Expected Results of the Call in the Guidelines

Inputs and outputs

An example:



Describing activities

- There may be several activities (or tasks) to achieve one expected result
- Group activities by group of tasks in the logical framework to form 'work packages' that will achieve their respective expected result
- Identify the resources (inputs - human, technical, material, etc) required to carry out each task within each activity or 'work package'
- Enter the inputs against the relevant activity tasks in the logframe column 2 (this will assist with budgeting and assessing cost per activity, which should be entered in column 3)

Checking effectiveness

- Will the specific objective contribute to the overall objectives?
- Will the specific objective be achieved if the expected results are delivered?
- Are the activities sufficient to achieve the expected results?
- Are the means (human resources, equipment, funds) sufficiently justified by the activities and results?

Participation and Partnerships

The cross-cutting message:

- The people who will benefit from your project, including your partners, have been and will be fully involved at every stage.
- Capacity building is an integral part of the project.
- You have good partnerships, built on trust, transparency and mutual support.

Exercise: Refer to checklist for partnerships

Methodology Section

A 'catch all' section that covers (in 4 pages):

- Project methodology
- Repeat questions on synergy with EC and fit within larger project (if any)
- Monitoring and evaluation
- Roles and attitudes of various actors and stakeholders
- Organisational structure and team
- Means required to deliver project
- Visibility

Methodology of the action

- Describe the 'approach' of the action
- Do not repeat the activities
- Can include:
 - the key intervention principles of your organisation;
 - participatory approaches;
 - training methodologies,
 - methods to ensure equality of access for men, people living with disability, the aged, and other socially marginalised groups.

Action plan

- Fill in the action plan (Gantt chart) as requested
- Do not indicate a specific start date – use ‘month 1’ ‘month 2’, etc
- Note new requirement to limit this to 4 pages (not relevant to all Calls).
- Must fit numbering of the Description of activities.
- During implementation, the action plan for the following year will be detailed by month.

Sustainability of the action - 1

5 key questions - in 3 pages

- Expected impact of the project
- Plan for dissemination and multiplier effects
- Risk and contingency plan
- Main pre-conditions and assumptions
- How will sustainability be secured

Note: this is often the most neglected Full Proposal question!

Sustainability - statement of impact

Use EC's own wording to create subsections in your statement

- Technical
- Economic
- Social
- Policy levels
- Use quantified data where possible

Sustainability - means of dissemination and audiences

Share information with:

- Partners from EU Member States
- Local partners, other NGOs, donors, government, other local CSOs.
- Means of dissemination:
- Reports, broadcast and print media, internet, through seminars, conferences etc.

3 Dimensions of Sustainability

- **Financial sustainability:** sources of finance for follow-up, future operation and maintenance
- **Institutional sustainability:** structures in place for continuity post-action, capacity built, agreements and 'ownership' of action outcomes,
- **Policy level sustainability** (where applicable): structural impact, e.g. improved legislation, codes of conduct, etc.

Sustainability Issues

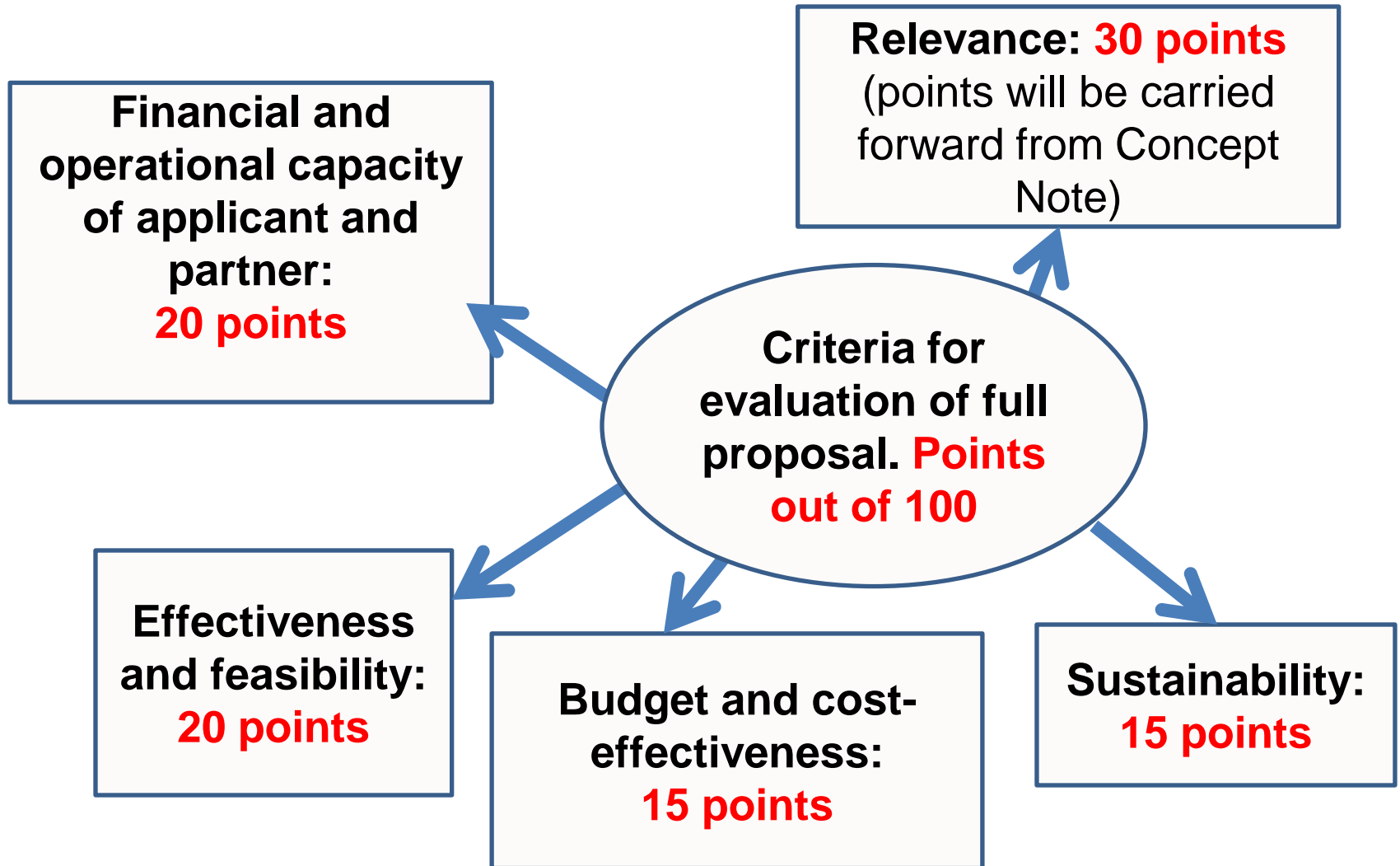
Unpick sustainability by thinking about the following issues:

- **Ownership by beneficiaries:** What evidence is there that they support the project?
- **Gender equality:** Will project reduce inequalities and meet needs of both men and women?
- **Social inclusion:** Will project improve inclusion of marginalised groups such as people living with disability, HIV/AIDS, the aged, etc.?
- **Financial:** Will further funding be required and if so from where?

More Sustainability Issues

- **Institutional:** Structures in place to allow activities to continue if necessary?
- **Social/cultural:** What measures will the project undertake to ensure behaviour change is sustainable?
- **Policy:** e.g. changes in law, codes of good practice, evidence of support by authorities
- **Environmental:** Measures to mitigate any possible harmful environmental impact?

Evaluation of full proposal



Annex B: The Budget

A standard excel spreadsheet with 4 worksheets

- **Worksheet 1:** The budget for total duration of project and the first year budget.
- **Worksheet 2:** Justification of the budget.
- **Worksheet 3:** Amount requested and sources of financing
- **Worksheet 4:** Claim sheet for contingency fund. **Do not** submit with budget.

Budget basics

- Budget covers 100% of project costs, not just those funded by the EC
- The EC makes a pro-rata contribution to the total budget. The budget line items are not ear-marked by donor.

From the evaluation grid:

5. Budget and cost-effectiveness	15	
5.1 Are the activities appropriately reflected in the budget	5 x 2	
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5	
Maximum total score	100	

Guiding principles

- A good budget makes for un-complicated financial management and reporting
- Aim to strike a balance between a budget which is not detailed enough and may leave you open to accusations of putting in undefined 'lump sums' and a budget that is so detailed that reporting becomes too heavy a task

Eligible and acceptable costs

- **Eligible total costs** = all direct costs less VAT and other indirect taxes
- **Acceptable total costs** = all costs including VAT and other indirect taxes
- The 7% administrative charge and contingencies are calculated on the eligible costs
- See EC Document: New Co-financing Approach to Grants

Direct and Indirect Costs

- **Direct** : All costs required to implement the action including contingency
- **Indirect**: A fixed percentage not exceeding 7% of total direct costs to cover the administrative overheads of the Grant Beneficiary.
- This flat-rate funding does not need to be supported by accounting documents

Common problems with budgets

- Over-estimated total budget leading to accusations of unnecessary costs e.g. Too many administrative posts etc.
- Inaccurate: e.g. costs not carefully budgeted leading to significant over or under expenditure.
- Often Year One budget is over-estimated leading to heavy under expenditure at outset
- Partners not fully consulted so that not all their costs included.

Tips on Concept Note Writing

- Work out the Logical Framework first – at the very least the first column for the Concept Note. This gives you the structure for the whole proposal.
- You cannot make significant changes between the Concept Note and Full Proposal so get it right from the start
- Do not be afraid of stating the obvious when answering the first question in the CN about fit with EC objectives and priorities.
- The questions have a logical flow, it is not necessary to be repetitive. If you find you are repeating the same information, then you are missing something out or you are not answering the question!
- Remember that the Relevance statement (questions under 1.2) should not start telling **HOW** you are going to do the project. Concentrate on the **WHY**.

And finally... Style, language, layout

- Answer every EC format question in the right order, using their questions edited down to make paragraph headings.
- Do not expect the EC evaluator to read between the lines of your CN to find the answers to their questions.
- Concept Notes: We know that it is difficult to get all the information into 4 pages, but remember LESS can be MORE. At the least, make sure there are gaps between the main question headings, making it easier to read.
- Do not use your own organisation's jargon or acronyms unless it is essential in which case give a foot note in explanation.
- Use foot notes sparingly. They take up too much space.