**Possible components of a micro-grant system for supporting community-led crisis response**

1. Possible Flier to be used for announcing support for community self-help initiatives
2. Detailed criteria for Groups to be eligible to apply for micro-grant support
3. “Applicant Details Format”
4. Project Proposal Format for Community groups to use to prepare their proposals
5. Checklist for reviewing applications for micro-grants
6. Record of Decisions of Review Panel of Proposal
7. Contract Template
8. Community procurement guidelines
9. Guidelines for Grantees to write final activity and financial reports
10. Capturing lessons and learning (outcome harvesting)

**Micro-grant *Format* #1**

**Draft of Possible Flier to be used for announcing support for self-help plans**

**OPPORTUNITY FOR EMERGENCY SELF-HELP**

We, the local NGO of ...................... (Province) are supporting the disaster-affected communities of .................................Province to design, implement and coordinate their own interventions to respond to the crisis of ............

We know that since the disaster struck many of you have been actively working to help each other, finding your own solutions to problems as best you can. Despite the tragedy, you have shown that your community are not helpless victims of this disaster but are actively working to reduce the suffering and recover as fast as you can. You are already the front-line responders – and with support you could do even more.

We want to help you build on your strengths so that you can lead your own response and implement your own ideas not only for immediate emergency recovery, but also for building back stronger, so that you are less vulnerable to disasters in the future.

We therefore invite any self-help groups or local CBOs that have practical plans on how they want to help their wider community respond to immediate needs and start the process of recovery to urgently contact our representatives situated at: ........................ (address), or by telephone on: .................

We do not have relief items to distribute, but if your group and your plans meet the simple criteria listed below, then perhaps we can support you to rapidly obtain the funds, skills or equipment that you need to implement your emergency plans as fast as possible. Because our resources are limited we cannot assist every group, even if their plans are very strong and important. But at least we can try and do what we can. Contact us to find out more.

*Criteria to apply for support*

* *You are an existing CBO or a new self-help group with integrity, that is well trusted and respected by the community and by the District*
* *You have already organised and carried out self-help activities without any external assistance to help others survive the disaster*
* *You have practical plans that are responsive, feasible and cost-efficient to rapidly help your community meet immediate survival or longer-term recovery needs*
* *Your group is ready to implement your plans immediately, but you need some support (whether funds, skills, equipment, information or connections) to enable you to do so.*

**Micro-grant *Format* #1**

**Improved? Draft of Possible Flier to be used for announcing support**

**Supporting local initiatives to strengthen ... human security? Social well-being? Peaceful co-existence?**

* Are you a genuine local self-help group with integrity dedicated to improving the well-being of your wider community?
* Do you see opportunities for strengthening community cohesion, trust and locally-led collective action for the common good?
* Are you frustrated by external interventions that ignore local capacities, values and mechanisms for promoting self-help and ensuring peaceful coexistence?
* Have you already organised and carried out self-help activities without any external assistance to help others?
* Do you have ideas or plans that could further help your community but which need some extra support to succeed (whether funds, skills, equipment, information or connections)?

We, the local NGO …………………………. are interested to support community-led initiatives in .................................Locality that could result in improved human security, social harmony, peaceful coexistence and general well-being. If you answered YES to the above questions and would like to find out more about how we could help you put your ideas in to practice, contact us at.........(address? Phone?)

*For internal use*  ***Micro-grant Format* *#2***

# Detailed criteria for Groups thinking about applying for micro-grant support

1. Whether an existing group or institution - or a new self-help group – they have integrity, and are well trusted and respected by the community and by the relevant authorities
2. The group has a name and at least 3 named individuals who have the strength and capacity to successfully implement their initiative. At least 1??? of these should be literate.
3. They have already organised and carried out self-help activities without any external assistance to somehow help others in their wider community.
4. They have an idea for an initiative which aims to contribute to the wider human security and well-being of their community in a realistic way.
5. Their idea aims to help a significant proportion of their wider (grants cannot be awarded that benefit only single families or small groups of families only).
6. To support their initiative, they will not depend only on a micro-grant - they are ready to seek contributions from their community, whether cash, volunteerism or in-kind contributions.
7. The group is ready to implement their plans immediately, but needs some support (whether funds, skills, equipment, information or connections) to enable it to do so
8. The intervention will not provoke any problems, divisions or bad feelings in the community (internal problems), or any political and security problems for the community (external problems).
9. Initiatives are encouraged that:
* are submitted by groups in which women have clear leadership positions
* target the most vulnerable, marginalised, discriminated groups
* are also supported (with funding or resources) from other sources – e.g. from the community, or from Government or from other organisations or donors
1. Proposals should be approved by respected and knowledgeable 3rd party observers: could be a traditional community leader, could be school principle, faith-based leader, relevant Association or other CSO or respected local Government office – or could be from triangulated community feedback
2. Any submitted proposal should be posted and remain in a public place that allows all the village to read it with clear steps for providing opinion or comment to ....................
3. Grants can be awarded with a value from .................. up to a maximum of ...................SDG

***Micro-grant Format* *#3***

**DRAFT “Applicant Details Format”** ...To be filled in by fund manager for internal use

|  |
| --- |
| 1. **Name of the group or organisation:**
 |
| 1. **Type of applicant:**
 |
| 1. **Address:**
 |
| 1. **Name of 3 senior members (with positions if relevant) and contact details of each one:**
 |
| 1.
2.
3.
 |
| 1. **When did the group come into existence (NB possible that it is brand new, informal and emergent):**
 |
| 1. **Describe briefly any prior experience or proven capacity for**
 |
| 1. **Developing action plans and implementing them:**
 |
| 1. **Developing budgets and managing funds:**
 |
| 1. **Reporting on activities or expenditures:**
 |
| 1. **Briefly describe the self-help activities the group has already undertaken without any external support to help the community cope with this current disaster:**
 |
| 1. **Does it have experience of responding to other disasters in the past? If so describe briefly what and how (be a bit more specific in details ...):**
 |
| 1. **Reputation for integrity** (very positive, reasonable, weak, don’t know)

a) Do you know the applicants? How do you rate them? |
| b) How do applicants describe their reputation with the wider community?Does this cross check independently with other community members? |
| c) How do applicants describe their reputation with the Locality Council/Committee?Does this cross check independently with the Locality Council/Committee? |
| 1. **Additional key information (priorities and focus, gender, age, ethnicity, affiliations)**
 |

***Micro-grant Format* *#4***

**DRAFT Project Proposal Formats to be used by applicants**

1. Details of applicant group:
2. Name and address of the Group
3. Names, positions and contact details of the responsible member(s) of the group submitting this proposal and will be responsible for implementing it and managing the budget?
4. What are the **objectives** of your emergency intervention?
5. Who will benefit from the initiative? And how many of them?
6. Describe how will you ensure that your initiative will not provoke any friction or conflicts within the community
7. Are there any **political or security risks** that could result from this initiative? If so, what are they and how do you intend to deal with them?
8. Explain who will manage the finances and how the funds will be securely kept.
9. Explain if this initiative is coordinating with any other programme in the village (from Government or from other organisations)
10. Submit your detailed **work plan**, showing each activity, and who will do it and when, using a simple table like this one, with each activity on a separate row. Use as many rows as you need.

|  |  |  |
| --- | --- | --- |
| **Activities**  | **When will it be done (no of days after grant provided)**  | **Who will do it?** |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |

1. Include your detailed **budget**: for each activity in your work plan, list all the costs that will be incurred, using a simple table like this one (use as many lines as you need):

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Expenditures (items to buy, travel costs, services to rent etc) | Unit cost | Number needed | Total costs | Amount needed from the facilitating agency | Contributions from other community and from other sources (specify) |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

1. How many days/weeks after receiving the grant will all activities and expenditures have been completed and a simple activity and financial report submitted to the facilitating agency with receipts of all payments?
2. Is there any additional non-financial support (e.g. new technical skills, temporary use of equipment, connections or introductions, management capacity) that the group needs to successfully implement this proposal? If so, please define.

**Checklist for reviewing applications for micro-grants  *FOR INTERNAL USE* *Micro-grant Format* *#5***

|  |  |
| --- | --- |
| *For each question rank your assessment according to the following scale: strongly positive (3); reasonable (2); weak (1); very negative (-1); don’t know (?); or not applicable (n/a)***1 Organisational Issues*** 1. How does the Locality /wider community/the facilitating agency staff or partners’/reputable 3rd parties judge the **integrity and legitimacy** of the applicant?
 | **Score** |
|  |
| * 1. Do they seem to have the necessary **capacity** to implement and manage their project effectively?
 |  |
| * 1. What is their experience in receiving and managing funds (**financial management capacity**)?
 |  |
| * 1. How is the **gender** /ethnic/others balance of the applicant’s leaders?
 |  |
| * 1. Do they have **previous connections** and/or experience with the target group and area?
 |  |
| * 1. Any other indicator?
 |  |
| **2 Proposal issues**1. **Relevance** of their intended intervention and objectives (i.e. is it responding to prioritised needs of target group)?
 |  |
| 1. It is clear and justifiable who are the intended **beneficiaries** of the proposal?
 |  |
| 1. How robust is the **implementation plan** (i.e. is it the best way to meet the objectives)?
 |  |
| 1. Are their **transportation plans** well thought through (economically)?
 |  |
| 1. How **realistic and accurate is the budget**?
 |  |
| 1. Does the proposed expenditure represent **effective use of limited funds**?
 |  |
| 1. How significant are the **local contributions** (volunteerism, cash or in-kind)?
 |  |
| 1. Are mechanisms of local **accountability**/transparency/complaints/communications adequate?
 |  |
| 1. Is the project sufficiently **coordinated** with relevant initiatives by other actors in the same area, whether LGU or other NGOs or INGOs?
 |  |
| 1. Is the intervention likely to **strengthen community solidarity** and cohesion (or are there risks of generating internal community divisions)?
 |  |
| 1. If in areas of conflict, is the intervention sufficiently **sensitive to security or political** considerations? Or not going to prevent further conflict?
 |  |
| **3 Additional follow-up?** a) Do you recommend any further checks needed on the legitimacy of this group? If so, explain:b) Is further technical advice needed to approve the proposed intervention? If so, explain:c) Can the facilitating agency or partners respond to any additional request for non-financial assistance if needed?d) Is more needed to promote collectivism and solidarity to bring people together etc? |

# *For internal use*  *Micro-grant Format* *#6*

# Record of Decisions of Review Panel of Proposal

**Date of meeting:**

**Members of Review Panel participating:**

**A**: ……………………………………………………………………………………………………………………………… name and signature)

**B**: ……………………………………………………………………………………………………………………………… name and signature)

**C**: ……………………………………………………………………………………………………………………………… name and signature)

*(Note that in emergency context meetings can be conducted virtually through phone conversation, Skype, WhatsApp etc)*

|  |  |  |
| --- | --- | --- |
| **Proposals being reviewed (give name and ref no)** | **Decisions of individual panel members with reasons if rejection is decided\*** | **Additional Comments** |
| **A** | **B** | **C** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Etc as necessary** |  |  |  |  |

Decisions are made based on collective use of the Review Checklist. Panel members can make one of 4 decisions:

1. Immediate approval of proposal as submitted
2. Tentative approval of proposal on condition that either suitable clarification is made of any uncertainties and/or small changes are made either to action plan or to budget
3. Rejection of proposal, but with invitation to the applicant to take on board reasons for rejection and to rapidly develop a new proposal for resubmission
4. Rejection of the proposal, with no encouragement for the applicant to try again.

Normally the panel should discuss until a consensus decision is reached. However, if this proves impossible the majority decision of 2 panel members will prevail.

***Micro-grant Format* *#7***

# DRAFT Contract Template

**Contractual Agreement for Community Grant between ................................... and the**

**Project Management Committee (PMC) of........................ of Address.............................................**

This contractual agreement defines the commitments of the facilitating agency and the identified Project Management Committee (referred to as **Grantee**) for implementation of a community project.

* + 1. On the signing of this contractual agreement **the facilitating agency hereby commits:**
			1. To provide a community grant of total value of ........................................ SDG as a micro- grant to the PMC of the ........................................., in the Locality of ................................... to implement the approved project proposal as attached to this contract.
			2. To transfer the funds within ...... days of signing this contract in in cash/as a cheque/as bank transfer
			3. To provide relevant training in financial and project management as needed.
			4. To provide any other agreed assistance (e.g. new technical skills, temporary use of equipment, connections or introductions) as detailed in attached Annex..............
			5. To facilitate an evaluation at the end of the project with relevant stake-holders that focuses on learning and capturing lessons that can help strengthen future interventions.
1. On the signing of this contractual agreement the representatives of the **grantee** hereby commit:
	* + 1. To implement all the project activities and make all expenditures according to the approved signed project proposal attached
			2. To seek help or advice whenever necessary from Locality or the facilitating agency or other actors
			3. To follow all basic procurement guidelines as attached
			4. To follow all basic book-keeping and accounting guidelines as attached
			5. Not to make any significant changes in implementing the project work plan or expending the project budget without first requesting a meeting with the facilitating agency to discuss any requested amendments.
			6. To submit final narrative and financial reports to the facilitating agency with a copy to the Locality Council? - according to Final Report guidelines (attached) on completion of project and not later than

**Add space for signatures & dates of the two parties and of community witnesses**

***Micro-grant Format* *#8***

# Attachment: Community procurement guidelines

1. For any expenditure try to get a receipt from the vendor. For any payments over …… SDG you **must** get a receipt from the vendor.
2. A proper receipt should have the following information on it:
* Name and address of vendor or service provider
* Date of payment
* Costs and amounts of any different items purchased
* Total cost
* Stamp?
1. If it is not possible to get a receipt for small expenses (e.g. local transport etc) then just fill in your own cash payment receipt on the book provided by the facilitating agency.
2. For any single planned expenditures of over **………. SDG**, you should get first get written quotations (*pro-forma invoice*?) from **three** different vendors. and submit these with your final report. The decision on which vendor three signatories of the contract then need to make their selection You do not necessarily have to select the cheapest quotation (e.g. it may be cheap because the quality is so bad) but you should include your justification for the vendor that you finally select in your final report.
3. Be careful not to select vendors where there could be any gossip or accusation of vested interest (i.e if they are family member or such)

# Attachment: Community book-keeping templates

***Micro-grant Format* *#9***

**Guidelines for Grantees to write final activity and financial reports**

*Use the guidelines below for writing your final report.*

*The purpose of writing this report is first and foremost to help your group members reflect on their experiences of planning and implementing their initiative in order to help them learn and improve for the future. We in the facilitating agency do not use this report to judge your project or your organisation – rather we see it as an opportunity for you to reflect and learn from your experience of working so hard to help your community. What actually happened as planned? what did not? Why? What lessons come out from this experience? How could we do better for the next initiative? We are interested to keep supporting groups that show that they are interested in learning and in sharing their lessons so that we can all do better to help communities in need.*

*--------------------------------------------------------------------------------------------------------------------------------------------*

Name of group/organisation ........................................................ Date of report......................

**Actual activities**

1. Which of the planned activities listed in the proposed workplan was carried out as planned? All, some, or none?
2. For each planned activity that did not happen as planned, explain why and what you did instead.
3. Did you reach all the people that you planned to and within the time that you planned?
4. Based on what you learned from this experience, what would you do differently next time to strengthen your planning or your action?

**Actual positive outcomes (or results?) of your activities**

1. What were the actual positive changes in people’s lives as a result of the activities of your initiative? Describe these positive outcomes as specifically and as accurately as possible.
2. Were these different from the objectives that you had defined originally in your proposal? If so, why do you think they were different? What have you learned from this?

**Beneficiaries**

1. How many households or people actually experienced these positive changes? Is this more or less than what you had actually anticipated in your original plan? If different, why is this? Are there any lessons for how we could do better in the future?

**Unexpected outcomes**

1. Where there any unexpected negative consequences of the initiative? If so what were they? Why did they occur and how should we avoid such occurrences in any future initiatives?

**Additional lessons**

1. Are there any additional lessons that you learned from this experience? If so what and what do they teach us about what we do differently next time?
2. Are there any additional training or capacity strengthening needs in project planning, implementation and management that this experience has revealed which would help strengthen your organisation or group? If so what?

**Expenditure report (financial)**

1. *Make a table like this one and fill it in according to your planned and actual expenditures – it can cover more than 1 page if you have many expenditures:*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| List of each individual **planned** expenditures as listed in the in original budget | List of each individual **actual** expenditure, plus any additional unplanned expenditures | Your ref. Number for each **receipt attached** to this report for each expenditure  | **Difference** between actual and planned expenditures (if any) | **Explanation of reasons** for any differences recorded between planned and actual expenditures |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| 1. Etc etc as needed
 |  |  |  |  |
|  |  |  |  |  |
| **Total planned expenditure:** | **Total actual expenditure:**  |  |  |  |

1. If your total actual expenditure is **greater** than planned, how did you pay the extra?
2. If your total actual expenditure is **lower** than planned, how would you like to spend the balance?
3. What have you **learned about planning budgets** for such projects? Would do anything differently next time to strengthen your budgeting?
4. What have you **learned about managing the funds** you receive as a grant, book-keeping and expenditures? Would do anything differently next time to strengthen your financial management?
5. Are there any additional training or capacity strengthening needs in budgeting or financial management that this experience has revealed which would help strengthen your organisation or group? If so what?

Report must be signed and dated by the signatories of the contract