

**APPLICATION GUIDELINES FOR DEVELOPING
PROPOSALS ON STRATEGIC INTERVENTIONS UNDER
THE CLIMATE CHANGE IMPACT, ADAPTATION AND
MITIGATION PROGRAMME**

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1. BACKGROUND

Climate change impacts, adaptation and mitigation (CCIAM) is a programme aimed at developing and sustaining adequacy in national capacity to participate in climate change initiatives and address the effects and challenges of climate change. Specifically, the programme is committed to build capacity for Tanzania to participate in the development and implementation of the Reduced Emissions from Deforestations and forest Degradation (REDD) initiatives as proposed in the Bali Conference 2007 to combat deforestation, forest degradation and climate change challenges.

The CCIAM is a collaborative programme between Tanzanian institutions (Sokoine University of Agriculture, University of Dar es Salaam, Ardhi University and Tanzania Meteorological Agency), and Norwegian institutions. The CCIAM programme is expected to run for five years i.e. 2009-2014.

Within the CCIAM Programme there is a component for undertaking “Strategic Interventions” to address challenges patterning to climate change and dissemination of relevant research findings to mitigate the impact of climate change at grass-root level. This will, among other issues, smoothen the involvement of participating institutions in intervention, advisory and developmental service at the grassroots level in line with the focus areas of the programme under the REDD initiative.

The CCIAM Programme has set aside funds for strategic interventions. These funds are to facilitate stakeholders including experts from participating institutions to identify, develop and execute interventions that should be answering to the immediate needs and solving the immediate problems of small producers and rural livelihoods in as far as mitigation of and adaptation to impacts of climate change under the REDD initiative are concerned.

The funds are earmarked to cover costs for development and implementation of the intervention package, as well as travel and subsistence costs. These funds are not meant for long term research activities. Therefore, applications for funds for this purpose shall not resemble the applications for research grants. Consequently, experts are discouraged from using such funds for purchase of research materials or for any other heavy infrastructural investment.

The purpose of these guidelines is to facilitate the experts in developing proposals for strategic interventions under CCIAM Programme. The strategic intervention aims at contributing towards reducing emissions of GHG, improving livelihoods of the rural poor by instituting measures and technologies on the ground that optimize forest resource uses.

Some of the strategic intervention needs include:

- i. Assessment of community-based projects aimed at alleviating poverty through different approaches to climate change adaptation and mitigation in REDD pilot areas.
- ii. Supporting REDD related demonstration projects.
- iii. Supporting demonstration projects at community level on biofuels technologies and options to facilitate REDD implementation.
- iv. Value chain analysis of farm products in Tanzania for REDD.
- v. Provision of advisory and developmental services on emerging constraints in adaptation to climate change by small producers.
- vi. Introduction of technologies/innovations for increasing carbon sink including afforestation and reforestation activities; promotion of agroforestry farming systems; protection of existing natural forests; strengthening forest fire prevention programs; and impact of afforestation on health of humans, farm animals and wildlife.

- vii. Introducing alternative energy sources and efficient utilization of biomass aimed at avoiding reduction of carbon sink e.g. briquettes, improved stoves.
- viii. Introduction/promotion of innovations that contribute to reducing carbon emissions from productive activities such as: best agronomic practices; better range management practices; off-farm employment activities.
- ix. Enhancing human resource capacity for mitigating climate change impacts including REDD related farmer field schools; strengthening field stations to serve students, farmers, extension officers and other stakeholders
- x. Communication, education and public awareness strategy on REDD such as document/package of existing REDD related activities and technologies; and transfer REDD related technologies to various stakeholders.
- xi. Research undertakings to assess the impact of the introduced interventions.

During the implementation of the CCIAM Programme, it is planned that strategic interventions will fall under two categories. There will be major and small strategic interventions. The major strategic interventions will constitute 50% of this component, and will be addressed by a team of experts identified by the Program Management Team (PMT) from the CCIAM participating institutions. It is planned that this category of intervention will last for a period of three years.

The other 50% will be small projects undertaken by teams responding to specific challenges. Their activities will last for a maximum of one year.

2 ELIGIBILITY

Applicants should come from participating institutions. Proposals for interventions should be demand driven and aim at solving the immediate problems of rural livelihoods through implementation of activities related to mitigation and adaptation of climate change impacts. The proposal should be accompanied by a clear evidence that the proposed intervention(s) emanated from the targeted community addressing livelihood challenges in line with REDD initiatives. The proposal must demonstrate a commitment to gender balance and should show how these will be implemented to the proposed project.

3 FORMAT OF THE PROPOSAL

Cover page

This should include the name(s) of experts/researchers/students, their academic qualifications, Department/Faculty/Institute hosting the project, title of the proposed strategic Intervention, advisory and/or developmental service requested by the beneficiaries and the name of experts with their affiliation, documents to support origin of the request that it is coming from farmers/smallholders

Background, rationale and opportunities

The background is an extremely important part of the proposal. It argues the overall justification for the project. It should convey a sense of need and urgency, giving a compelling rationale for the project, highlighting the importance of the project in helping to address identified challenges. The background of the problem and strategic intervention (s) to be undertaken should show clear evidence that are demand driven and originate from stakeholders (rural communities). The background of the problem and strategic intervention (s) to be undertaken should show clear evidence that they are demand-driven and originate from stakeholders (rural communities). The proposed intervention(s) should be inline with REDD initiatives and relevant for solving community challenges, and show element of sustainability. The sustainability of the

interventions is of great importance as it increases the long-term impact and cost-effectiveness of the project.

Project Goal and Objectives

Statement of the project goal

This should be the higher level objective towards which the project is expected to contribute. The goal should reflect the broader aim of the project. It should be as general as possible, even to the country-level, but still narrowed to the broader target sector and issues reflecting CCIAM programme priorities/objectives.

Statement of project objectives

The project objectives should be measurable and quantifiable outcomes of the intervention(s). The objectives should be the desired achievements of the interventions through all its stages, and address the impact on the ground or change in beneficiaries' perception in reference to REDD. The objectives should be made as SMART as possible:

- **Specific** *Clearly defined with completion criteria*
- **Measurable** *Able to be objectively quantified or measured*
- **Achievable** *Within the constraints of the current environment and resources*
- **Relevant** *Mission mandate, strategic intervention to sector/country problem*
- **Time-bound** *Activities or relevant results have completion dates*

Project Activities

The proposal should show project activities to be implemented and how they will contribute to achieve the project objectives. The activities should be as exhaustive, specific and time-bound as much as possible. The proposal should also clearly indicate who is doing what; the geographic location of the community/producers in need within REDD pilot areas. It is also important to indicate intervention(s) administration arrangements.

Expected outcomes and sustainability

Expected outcome should be specific reflecting the project objectives. They should be quantitative and tangible, for instance, the number of expected beneficiaries. Describe how the project will have a lasting impact and its sustainability at the end of the funding period. In other words, what legacy the project believes will remain at the end of the funded period and how will it be funded. It is useful to provide an outline plan for the continuation of the project beyond the funding from the donor, showing the future funding strategy

Work plan

The work plan should depict sequential and chronological flow of activities indicating what is to be done, when and by whom.

Budget

The budget should include items such as equipment (type and costs), expandable supplies, travel (fares and places to be visited), and personnel cost (researchers and stakeholders, assistants and casual labour if applicable). The grant is meant to cover direct costs for strategic interventions and assessment of their impact on the ground and not for research activities. Administrative costs and payment of experts' salaries shall be borne by the recipient institution. Each budget line should be quantified in monetary terms and elaborated under budget notes. Other sources of funds aimed to support the intervention should be declared

Log framework Matrix/Approach

The log framework approach (LFA) should be able to enhance planning, monitoring and evaluation of the project activities. In other words, it should clarify the purpose of, and the justification for the proposed intervention. It should clearly identify information requirements, define the key elements of the interventions, analyze the project's setting at an early stage, facilitate communication between all stakeholders involved, and identify how the successes or failures of the interventions should be measured. The LFA should show the basic elements of the project matrix including goals, purpose, outputs, activities and inputs. In each basic element the LFA should indicate verifiable indicators, means of verification, and assumptions and potential risks. The LFA should be SMART.

Risk Assessment

Identify possible risks to effective implementation of the project. Some of these will be out of control of the project and collaborating institutions. Highlight what steps will be taken to mitigate the risks.

Declaration by Project Leader

I the undersigned have read and understood the Rules and Regulations governing the management of financial grants by the University and undertake to abide by them if my/our application is successful.

Date:

Signature:

Recommendation by the PMT:

Date:

Signature:

Decision by the Steering Committee:

Approved / Not Approved

Date

Signature:

4 PROPOSAL SUBMISSION, SELECTION AND ASSESSMENT PROCESS

The duly developed proposals for strategic interventions should be submitted together with a covering letter not later than XXXXXXXXXX 2010 at 15:30 East African time to the Programme Coordinator (PC) through the following address:

The Programme Director (Attention: Programme Coordinator)
CCIAM
Sokoine University of Agriculture
P. O. Box 3151
Morogoro

Proposals received after the deadline will not be subjected for evaluation.

The size of the proposal shall depend on the nature of the problem in question and generally should not exceed 10 pages (excluding annexes) of an A4 size paper, single spaced, font type Times New Roman, Font size 12pt.

Since there will be two types of strategic intervention applications (major and small projects), the PMT will identify the team for preparation of the major projects. The major strategic intervention concept note shall not contain names of applicant of the project. The PMT upon being satisfied with the relevance of the major strategic intervention, shall approve a team of experts (as the case may require) from amongst staff of CCIAM institutions to implement the intervention/response. The small intervention Concept notes shall contain names of the experts to execute the projects.

The PC shall prepare the submission report for both major and small strategic interventions applications and submit to PMT an analysis of the proposal with respect to its originality, relevance to CCIAM goal and purpose, usefulness to the target beneficiaries, implementability and social acceptability of the activity proposed. The PMT shall evaluate the relevance of the proposals based on the evaluation sheet attached as **Appendix 1** for major strategic interventions and **Appendix 2** for small strategic interventions.

Positively evaluated proposals shall be recommended to the CCIAM Steering Committee for approval and funding.

The standard duration of strategic interventions shall be one year for small interventions and up to three years for the major strategic intervention. The team leader shall submit a progress report every 6 months and a terminal report at the end of the project as per **Appendix 3**.

During the implementation, the Monitoring & Evaluation Team of CCIAM programme shall visit the intervention sites at least once per annum.

In addition to the terminal report, the team shall be required to produce a camera-ready manuscript of policy brief(s), extension material(s) or journal paper(s) of the intervention for peer review prior to mass production and dissemination to other relevant beneficiaries.

Where the project leader fails to submit reports, respective institutional research regulations and guidelines shall apply.

Appendix 1: Guide Sheet for Evaluation Criteria for the Major Strategic Intervention Applications under the CCIAM Programme

	Parameter being evaluated	Descriptive Scale	Numerical scores	SCORES EARNED
1.	Relevance of the proposal to the priorities of the REDD initiative and to improvement of socio-economic well being of the target groups (i. e. relationship between what is perceived as the challenge and what is proposed as an intervention)	<input type="checkbox"/> Directly Relevant (10-15 points) <input type="checkbox"/> Relevant (6-9 points) <input type="checkbox"/> Fairly relevant (1-5 points) <input type="checkbox"/> Not relevant (0 points)	Maximum 15 points	
2.	Presence of staff in collaborative institutions with technical and professional competence for undertaking the proposed intervention	<input type="checkbox"/> Very Adequate (8-10 points) <input type="checkbox"/> Adequate (5-7 points) <input type="checkbox"/> Fairly adequate (1-4 points) <input type="checkbox"/> Not available (0 point)	Maximum 10 points	
3.	Potential that the proposed intervention will solve the problem that was the basis of the CCIAM goal and purpose	<input type="checkbox"/> Very likely (8-10 points) <input type="checkbox"/> Likely (5-7 points) <input type="checkbox"/> Likely with close follow up (1-4 points) <input type="checkbox"/> Not at all (0 point)	Maximum 10 points	
4.	Prospects for the proposed intervention package to generate realistic and objectively verifiable indicators of a socio-economic impact within 1-3 years	<input type="checkbox"/> Very likely (8-10 points) <input type="checkbox"/> Likely (5-7 points) <input type="checkbox"/> Likely with close follow up (1-4 points) <input type="checkbox"/> Not at all (0 point)	Maximum 10 points	
5.	Likelihood of the intervention proposal to involve and address the needs of women and other disadvantaged groups in the society	<input type="checkbox"/> Very likely (8-10 points) <input type="checkbox"/> Likely (5-7 points) <input type="checkbox"/> Likely with close follow up (1-4 points) <input type="checkbox"/> Not at all (0 point)	Maximum 10 points	
6.	Likelihood of the proposed intervention to be accomplished within the allocated budget	<input type="checkbox"/> Very likely (8-10 points) <input type="checkbox"/> Likely (5-7 points) <input type="checkbox"/> Likely with close follow up (1-4 points) <input type="checkbox"/> Not at all (0 point)	Maximum 10 points	
7.	Kind of intervention/output that will be achieved by the proposed intervention	<input type="checkbox"/> Provide solution to a problem (11 – 15 points) <input type="checkbox"/> Provide foundation for further interventions (7-10 points) <input type="checkbox"/> Sensitize community and develop policy on management of a problem (3 – 6 points) <input type="checkbox"/> Not clear (0 – 2 points)	Maximum 15 points	

8.	The likelihood that the results of the intervention will be applicable to areas outside the immediate target group	<input type="checkbox"/> Explicitly clear (8– 10 points) <input type="checkbox"/> Clear (5-7) <input type="checkbox"/> Satisfactory (1 –4 points) <input type="checkbox"/> Not clear (0 point)	Maximum 10 points	
9.	Adequacy of the proposed project design matrix presented to generate realistic results within 1-3 years	<input type="checkbox"/> Very adequately (8 –10 points) <input type="checkbox"/> Adequately (5 – 7 points) <input type="checkbox"/> Fairly adequately (1-4 points) <input type="checkbox"/> Not adequate (0 point)	Maximum 10 points	
	TOTAL SCORE (Minimum acceptable score is 70%)		100 pts	
	OVERALL RECOMMENDATION			

POTENTIAL EXPERTS TO BE CONTACTED FOR FORMULATION OF AN INTERVENTION PROPOSAL:

1 _____

2 _____

Appendix 2: Guide Sheet for Evaluation Criteria for the Small Strategic Intervention Applications under the CCIAM Programme

	Parameter being evaluated	Descriptive Scale	Numeric al scores	SCORES EARNED
1.	Relevance to emission reduction efforts and to improvement of socio-economic well being of the target groups (i.e. increased income, food security and health)	<input type="checkbox"/> Directly Relevant (10-15 points) <input type="checkbox"/> Relevant (6-9 points) <input type="checkbox"/> Fairly relevant (1-5 points) <input type="checkbox"/> Not relevant (0 points)	Maximum 15 points	
2.	Evidence that the proposal originate from the target group (small producers)	<input type="checkbox"/> Yes (6-10 points) <input type="checkbox"/> No (0-5 points)	Maximum 10 points	
3.	Possibility of developing an intervention package from this request that will have an objectively verifiable socio-economic impact within 6 months	<input type="checkbox"/> Possible within 6 months (6 –10 points) <input type="checkbox"/> Possible between 6 -12 months (0 – 5 points)	Maximum 10 points	
4.	Possibility of developing an intervention package within the available/allocated intervention funds	<input type="checkbox"/> Possible (6-10 points) <input type="checkbox"/> May be possible (0 - 5 points)	Maximum 10 points	
5.	Is the request gender or likely to be a gender sensitive during the intervention	<input type="checkbox"/> Involves/benefits women and disadvantaged groups (6 – 10 points) <input type="checkbox"/> Not gender sensitive (0 – 5 points)	Maximum 10 points	
6.	Extent of the request being within the mandate and mission the CCIAM programme goals	<input type="checkbox"/> Large (3 – 5points) <input type="checkbox"/> Small (0 - 2 points)	Maximum 5 points	
7.	Possibility of the intervention to be undertaken with the allocated resources	<input type="checkbox"/> High (3 – 5points) <input type="checkbox"/> Low (0 - 2 points)	Maximum 5 points	
8.	Technical/professional competency of research team to address the subject matter of the request	<input type="checkbox"/> Very competent (6- 10 points) <input type="checkbox"/> Fairly competent (0 - 5 points)	Maximum 10 points	
9.	Kind of achievement/output sought by the request intervention	<input type="checkbox"/> Solution to a problem (6 – 10 points) <input type="checkbox"/> Sensitization of a community and development policy on management of a problem (3 – 5 points) <input type="checkbox"/> Not clear (0 – 2 points)	Maximum 10 points	
10.	The likelihood that any successful intervention propagated can be internalized and sustained by the requesting community	<input type="checkbox"/> Very likely (6 – 10 points) <input type="checkbox"/> Likely (1 - 5 points) <input type="checkbox"/> Not likely (0 point)	Maximum 10 points	
11.	Potential for replication/ applicability of the proposed intervention to other areas of similar production system/or situation	<input type="checkbox"/> High (4-5 points) <input type="checkbox"/> Moderate (2-3 points) <input type="checkbox"/> Low (0- 1 point)	Maximum 5 points	

	TOTAL SCORE (Minimum acceptable score is 70%)		100 pts	
	PMT Recommendation			

Appendix 3: Format for Progress/Terminal Report and Financial Statement for Intervention Projects to Requests for Advisory and Developmental Service from Small Producers

1. Project title:
2. Project team members (s):
3. Period being covered:
4. Project objectives:
5. What was the problem being addressed:
6. Implementation status during the stated period:

Expected output	Planned target/activities	Status of implementation	Problems encountered	Corrective measures

7. Intervention outputs that have been achieved:
8. Plan for the next period:
9. Financial statement certified by SUA Bursar (To be attached):
10. Declaration by Project Leader:

Date: _____ Signature: _____

11. Recommendation by the PMT:

Date: _____ Signature: _____

12. Decision by the Steering Committee:

Approved / Not Approved

Date _____ Signature: _____