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Species of Wild Animals**

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**DRAFT GUIDELINES FOR THE PREPARATION AND SUBMISSION  
OF PROJECT PROPOSALS**  
*(prepared by the Secretariat)*

1. The funding of selected field projects for the conservation of migratory animals is one of the most important contributions CMS can make to catalyse broader conservation actions regionally and worldwide. The last three meetings of the Conference of the Parties have allocated substantial funds for this purpose.
2. With a view to achieving efficiency and transparency in the selection and implementation of projects able to produce tangible benefits for the species concerned, the Scientific Council adopted at its ninth meeting a Procedure for Project Selection and Appraisal which is reproduced as attachment to this document. The procedure provides *inter alia* for the definition of a standard format for the elaboration and submission of project proposals, in order to expedite the internal approval process, while at the same time assuring that only those individuals/organizations with a strong commitment to develop and implement a project make submissions.
3. The format initially proposed by the Secretariat in consultation with the Council, based on the format of the Letter of Agreement to be signed between UNEP/CMS and the Agencies implementing the projects, has shown a few limits in practice. While having the potential merit of saving work in the drafting of the Letter of Agreement, the format has on the other hand turned out not to be sufficiently specific on several elements, as testified by the submission to the Secretariat of several proposals insufficiently developed in elements crucial for their evaluation and the subsequent monitoring of the project implementation.
4. The present draft Guidelines for the preparation and submission of project proposals have been prepared by the Secretariat in consultation with the Chairman of the Scientific Council to try to fill this gap. The LoA format having shown intrinsic constraints, it has been considered preferable to move, for the purpose of drafting project proposals, towards a substantially different format.

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5. With reference to a recommendation of the 10<sup>th</sup> Meeting of the Council requesting the Chairman and the Secretariat to prepare a paper explaining the submission of project proposals, the Guidelines include a section devoted to the procedure for the submission of the proposals.

6. Finally, the guidelines try to explain, to the benefit of applicants, Scientific Councillors and Focal Points, the necessary steps and procedure from the approval of a proposal by the Council to the release of funds. This is meant to provide the implementing agencies with crucial information for their own planning in the implementation of approved projects, and will hopefully limit in the future the misunderstandings and false expectations that have sometimes arisen in the past.

7. The Scientific Council is invited to consider the proposed guidelines and to suggest any further modifications as appropriate, with a view to finalizing and adopting them.

# DRAFT GUIDELINES FOR THE PREPARATION AND SUBMISSION OF PROJECT PROPOSALS

## A. Introduction

These guidelines are intended to assist applicants to the CMS Small Grant Programme in the formulation and submission of their project proposals.

The guidelines complement other instruments related to funding application for projects to CMS, notably the “Procedures for project selection and appraisal” endorsed by the 9<sup>th</sup> Meeting of the CMS Scientific Council (Cape Town, 4-6 November 1999) (attached to this document as an annex for ease of reference).

## B. Format

A project proposal should include the following elements:

**Executive Summary.** The elaboration of an executive summary of the project proposal is requested, and could serve several purposes:

- To assist in the review and approval of the project proposal by the Council;
- To be used to approach other possible donors;
- To assist the Secretariat in disseminating information on ongoing projects.

1. **Title:** The title should reflect the main thrust of the project and its orientation as per the criteria established by the Scientific Council (e.g. capacity-building, regional, sub-regional cooperation, networking, etc).

2. **Implementing agency:** The organization/institution making the proposal, which would be responsible for the implementation of the project, if approved.

3. **Collaborating Agencies:** Possible other organizations/institutions collaborating with the implementing agency in the conduct of the project.

4. **Objectives:** The project objective is an overall intended achievement, involving a process of change and aimed at meeting certain needs within a given period of time. Objectives are attained through achievement of expected results or outcomes.

This part should include one or two main objectives, possibly supplemented by more specific objectives (outcomes), which could provide more structure to the design of the project. Objectives are intended goals and should be clearly distinguished from outputs and activities.

5. **Background:** Issues to be addressed by the project should be described and analysed. Major recent legislation and other policy and planning instruments calling for action in the respective area may be cited. This part should also indicate whether the entity proposing the project has had prior involvement in issues related to the objective of the project. It is important to state here whether the proposed project is a new activity and its possible linkages with already ongoing/planned initiatives. Finally, the existing management, methodological and programme support capacity to effectively implement the project should be stated.

6. **Relevance to CMS:** The pertinence of the project for the attainment of CMS goals should be explained and justified by making reference to relevant decisions made, and documents/instruments produced within the Convention. Examples are the existing listing of the considered species/populations in CMS

Appendices, their identification for “Concerted or Cooperative actions” (and relevant COP resolutions/recommendations), decisions/recommendations of other bodies of the Convention (e.g. Standing Committee, Scientific Council), relevance to tools such as the CMS Strategic Plan or the Information Management Plan.

7. **Indicators of achievement:** Indicators are criteria to be used to measure to which extent the objectives of the project have been achieved.
8. **Duration:** Proposed duration of the project should be realistic and coincide with the proposed schedule for project implementation. As a general rule, small-scale projects funded by CMS should be completed within one year, and their expected duration should not in any case exceed 2-3 years.
9. **Activities:** Under the heading of “Activities” the work or the tasks to be performed should be described. The description of activities is the main element of the project’s design. It should include a technical description of the methodologies to be employed (including, where appropriate, bibliographic references giving detail on the methodologies and their application in the past), personnel and equipment needs, location and expected duration of individual actions. Activities should be stated in terms of action rather than of products (outputs). Activities are the means by which inputs (e.g. personnel, equipment, money) are transformed into outputs. A well-devised correspondence between activities and expected outputs and results is crucial.
10. **Outputs:** These are the specific products or services (e.g. reports, publications) produced by the activities to achieve the project objectives. They include also interim products such as progress reports and interim financial reports.
11. **Workplan and timetable:** The workplan sets out the timetable for carrying out project activities and the delivery of outputs. The timetable must include the expected start date for each activity and the expected completion date. It must also state who is responsible for the implementation of each activity. The information is best presented as a table. The following is an example of this:

<b>Activity</b>	<b>Start date</b>	<b>End date</b>	<b>Responsibility</b>
Production of training manual	June 2002	August 2002	ABC
XYZ Meeting	October 2002	October 2002	XYZ
etc.			

12. **Project Personnel:** Name, position, affiliation, role within the project and a brief profile should be given for at least the most prominent members of the project team. Succinct C.V. can be attached to the project proposal.
13. **Budget estimates/resource requirements:** Every project proposal must include a detailed project budget. The budget should include not only the funds requested of CMS, but also possible other financial resources made available by other sponsors or collaborating agencies. A breakdown of the expected costs of the project should be prepared in budget lines as per the Annex II to these guidelines. The budget should be presented in a tabular format and, where applicable, should clearly indicate the expected source of the various amounts budgeted. In accordance with the UN Financial Rules and Regulations, resource requirements, proposed to meet the objective(s) of the project, should be properly justified. The indication of resource requirements in a tabular form should therefore be complemented where necessary by a supporting narrative in which justifications/analysis of the needs are presented. Purchase of non-expendable equipment through CMS funding is accepted only exceptionally, and the equipment will remain the property of UNEP/CMS, which will decide at the closure of the project on its disposal or retention.

### **C. Recommended procedure for the submission of proposals**

As a general rule, applications for financial support to projects under the CMS Small Grant Programme have to be evaluated and approved by one of the regular meetings of the CMS Scientific Council. Project proposals should be communicated to the CMS Secretariat at least two months in advance of the relevant meeting of the Council.

- For projects to be implemented in the territory under the jurisdiction of a Contracting Party to the Convention, the submission (notification) should be made through the CMS Scientific Councillor or the Focal Point of the Party concerned.
- For projects involving more than one Party, the Scientific Councillors or Focal Points of the other Parties concerned should be informed and their expression of support to the project should desirably be attached to the proposal.
- For projects to be implemented in non-Party countries, the proposal should receive the support of a competent authority of the country concerned (e.g. the Ministry for Environment or other relevant national agency for environment matters).
- Projects of wide geographic scope (e.g. organisation of Conferences/workshops, elaboration of status reports and action plans for species/populations) should desirably be elaborated in consultation with the competent Scientific Councillors (i.e. focal point for the species when existing, and/or Conference-appointed Councillors for the relevant taxonomic group/geographic area).

Consideration of project proposals between meetings of the Scientific Council is foreseen only exceptionally, in the presence of clear exigencies of urgencies. In such cases a decision on the funding of the project will be made by a panel composed of the Chair of the Scientific Council, the relevant Conference-appointed Councillors, the Councillor(s) for the country(s) in which the activity is to occur, and the Secretariat (this replaces the provision in the already mentioned “Procedure for project selection and appraisal”).

### **D. Project evaluation**

A small number of projects can be selected for review while underway or once the project has been completed. This should involve consideration of value for money and assessment of how the project has helped the overall aims of the Convention. This evaluation will be undertaken by the Scientific Council.



## Annex I

### **Note on the procedure for the release of funds to approved projects, and project evaluation**

The present note is for information purposes only. It aims to illustrate to those submitting project proposals to the CMS Small Grant Programme the main steps to be accomplished between the approval of the project proposal and the release of funds. This is made with a view to assisting the Implementing Agencies in their planning and to prevent erroneous expectations, as has sometimes been the case in the past.

Releasing of funds requires in the first instance the availability of the necessary financial resources in the CMS Trust Fund. Such resources are not necessarily already available when the project proposal is discussed and approved by the Scientific Council. Availability of funds for projects in the Trust Fund may depend on several circumstances, such as the regular payment of the contribution by the Parties, the possible savings/unspent resources on other budget lines, etc. Special withdrawal of resources from the Trust Fund for the funding of conservation projects needs as a general rule to be approved by the Conference of the Parties or intersessionally by the CMS Standing Committee.

If requests for funding at a certain moment exceed the availability of funds, the Secretariat will make a decision on the ranking of the projects on the basis of possible indications of the degree of priority given by the Scientific Council, of the expected schedule of the projects competing for funding, and following a general principle of balanced taxonomic and geographic distribution of the funded projects.

Once the availability of funds has been secured, their release requires the establishment of a Letter of Agreement (LoA) between UNEP/CMS and the Implementing Agency of the project concerned. The Implementing Agency needs to be an organization or an institution, and cannot be an individual. LoAs are contract-type documents defining the terms of reference for the implementation of the project, including aspects such as legal responsibility, reporting and monitoring obligations, schedule and modality of payment of the financial contribution given by CMS, possible co-funding, etc. They also include clauses concerning intellectual property rights, acknowledgment of CMS as sponsor, etc. A first draft of the LoA is expected to be elaborated by the Implementing Agency, according to a format provided for this purpose by the CMS Secretariat.

The elaboration and finalization of the LoA may require on average between two to several weeks. A crucial aspect in determining the time necessary for its finalization is represented by the degree of completeness of the project proposal originally submitted by the Implementing Agency and approved by the Council. The better developed the original proposal is, the quicker the application for funding can be processed.

As a general rule, CMS cannot fund activities retroactively, i.e. activities to be implemented with CMS funding need to be scheduled and can be started only **after** the signing of the LoA.



## Annex II

### GUIDELINES FOR PROJECT BUDGETING

#### 10 PROJECT PERSONNEL

##### 1100 Project personnel

Each post should be recorded on a separate budget subline.

Budgetary provision should be expressed in dollar equivalent and in work-days/months for each year of the budget. Actual salary costs should be used where known. Standard salary costs include possible provision for travel on recruitment and repatriation, where applicable. **On the other hand, travel on official business should not be budgeted under 1100.**

##### 1200 Consultants

Consultants' services should be budgeted on a **separate budget subline** (one consultant-one line).

Standard costs should be used to calculate costs. These include provision for fees, travel and per diem. Where actual costs are known, these should be used instead of standard costs.

In projects executed by a co-operating agency or a supporting organization, this subdivision **excludes** consultants hired directly by UNEP, who should be budgeted underline 6120.

##### 1300 Administrative support personnel

Administrative support personnel include:

- (a) Administrative assistants (as distinct from professional administrative officers), secretaries, typists, clerks, and drivers, etc;
- (b) Translators, revisers, interpreters and conference typists (recruited for meetings).

Items such as temporary assistance and overtime should also be budgeted under this subdivision. The above rules for budgeting for 1100 also apply.

##### 1400 Volunteers

A proforma per-month cost should be used for volunteers when it is not possible to determine estimated actual costs.

Work-days/months should be indicated.

##### 1600 Travel on official business

All mission costs (travel costs and per diem) relating to travel of project personnel on official business (other than travel on recruitment and repatriation which are budgeted under **1100** and **1300**) must be included under this budget subline.

**20 Sub-contracts**

Contracts (including Memorandum of Understanding/Letters of Agreement) other than those listed below should be budgeted at their estimated cost and shown separately. The nature of the contract should be specified in the working sheet.

The following contracts should **not** be included under this budget subline:

- (a) Personnel contracts - Lines **1100** or **6110**;
- (b) Consultancy contracts - Lines **1200** or **6120**;
- (c) Repair and maintenance of equipment - Lines **5100** or **6510**;
- (d) Equipment purchases - Lines **4100, 4200, 6410** or **6420**;
- (e) Printing and publishing contracts - Lines **5200** or **6520**.

**30 Training**

**3100 Fellowships**

Budgetary provision should be made for the total estimated costs of all fellowship, including travel, stipend, and training fees.

- 3101** Stipend
- 3102** Travel costs

**3200 Group training**

This item should be used for budgeting participation in training courses, seminars, workshops, study tours, etc. The cost of travel and per diem should be estimated for each training course or workshop separately:

- 3201** Training course on.....
- 3202** Study tours (sometimes study tours and field trips are part of training courses or workshops);
- 3203** Workshops/Seminars on .....

The approximate number of participants should be indicated together with tentative dates and venue.

**Note:** UNEP, in principle, provides funds only for training of participants from developing countries.

**3300 Meetings/Conferences**

Budgetary provision should be made for the total estimated costs of participation in meetings, conferences, etc. The approximate number of participants should be indicated together with tentative dates and venue.

UNEP staff participation (travel and per diem) in meetings and study tours etc., should **not** be included under any of the above lines, but under lines **1600** or **6160** as appropriate.

**40 Equipment and premises**

**4100 Expendable equipment**

This refers to expendable property or equipment with an original cost of under \$1,500, for which inventory records are not maintained. Purchase of office supplies, books and documents, disposable lab equipment, etc, should be budgeted under this line.

**4200 Expendable equipment**

This includes items of property or equipment valued at \$1,500 or more per unit, and with a serviceable life of five years or more, as well as items of attraction such as pocket calculators etc. Property records and controls must be maintained and inventory forms submitted to UNEP with the half-yearly progress reports submitted as at 30 June.

**Note:** A list of non-expendable equipment, including the estimated cost, should be attached to the project document.

**4300 Premises**

When it is necessary to purchase or rent premises to implement a project, the cost should be estimated and shown against this line. Maintenance of premises should also be budgeted under this line.

**50 Miscellaneous**

**5100 Operation and maintenance of equipment**

Budgeted under this line are: rental, operation and maintenance of office and computer equipment; repair, maintenance and insurance of vehicles; purchase of petrol, rental of meeting room and equipment.

**5200 Reporting cost**

Estimated/standard costs should be budgeted for editing, translation, printing and distribution of reports and publications. Where possible, show different components under separate budget sublines.

**5300 Sundry**

This item covers expenditures such as freight and port clearance charges, postage and communications costs.

**5400 Hospitality**

Not applicable.

## **5500 Evaluation**

Budgetary provision should be made for the evaluation of projects, in particular, for projects with a cumulative budget of \$500,000 or more as well as for pilot and demonstration projects.

## **60 UNEP participation**

In the case of internal projects which are being implemented by UNEP Regional Office or a Unit outside Nairobi, and where the funds are sub-allotted to that office for carrying out the project, **UNEP Nairobi** may retain some budgetary provision for activities to be controlled directly by UNEP headquarters and authorized by Nairobi in accordance with objects of expenditure set out under line **60** (see project Budget Format).

Otherwise, line 60 should only be used for projects implemented by a co-operating agency or supporting organization, to allocate funds, to be controlled and disbursed directly by UNEP Headquarters, for salary, travel and related expenses for consultants, administrative support personnel or sub-contracts where appropriate, including review and evaluation meetings organized by UNEP, hospitality, and the printing and publication of reports and manuals. However, the line should cover expenditures incurred directly by UNEP for participation in specific phases of the project *per se*, for example, travel and related expenses of UNEP staff members or consultants participating in such phases (where salary or fees are not charged to **1100** or **1200**) should be budgeted under **6110** or **6120** as appropriate.

## **6550 Evaluation costs**

Where a project is evaluated by external consultants, their fees, travel and DSA should be charged to this line.

**Criteria for determining budget subline  
against which travel should be charged**

**1100 Project personnel**

Travel on recruitment, separation, home leave, education grant of the expert as well as his/her dependants, is covered by the common staff costs included in the amount budgeted for each post and is authorized by the Personnel Section once they have received a request to recruit against one of the project posts.

**1200 Consultants**

Travel of consultants recruited against line **1200** should always be charged to the same budget subline.

**1300 Administrative support**

Covers the same travel as above in **1100**, in regard to GS staff, translators, revisers, interpreters and temporary assistance personnel where appropriate. Travel and DSA of conference servicing staff are charged to line **1300**, in addition to salaries.

**1600 Travel on official business**

All mission travel of project personnel not covered by common staff costs under **1100** or **1300** above is to be charged to this line.

**3100 Fellowships**

Travel (as well as stipend, training fees, etc.) of fellows are to be charged under this line.

**3200 Group training**

Travel (as well as stipend, training fees, etc.) of trainees.

**3300 Meetings/Conferences**

Travel of participants in these meetings will be charged to this line. Travel of project personnel, agency staff or UNEP staff must not be charged to this budget line even when they are attending such meetings. Their travel should be charged to **1300, 1600** or **6160** as appropriate. Agency staff travel should come from the contribution to the project budget by the agency concerned.

**6000 UNEP participants**

In the case of projects undertaken with co-operating agencies or supporting organizations, provision may be made under this budget line for travel of UNEP staff or consultants to participate in specific phases of a project. For example, travel of UNEP staff members attending an expert meeting on the project, or for a project site visit.



## Annex III

### **PROCEDURE FOR PROJECT SELECTION AND APPRAISAL**

(As agreed by the Scientific Council at its ninth meeting, Cape Town, November 1999)

#### **Goals and objectives of the programme**

1. To catalyse, with modest funding, the development and implementation of concerted or co-operative actions for migratory species that can only be undertaken with greater resources than are available to CMS;
2. To support small-scale field activities that contribute directly to the conservation of wild species of migratory animals and their habitats;
3. To stimulate regional co-operation and dialogue to promote the conservation of migratory species;
4. To assist in the development of capacities to conserve migratory species;
5. To promote national or regional awareness campaigns related to the conservation and management of migratory species and their habitats.

#### **Prioritization of species coverage**

In principle, all migratory species included in the CMS Appendices would be eligible for funding. Priority would be given in the following order:

1. Species or taxonomic groups identified by the Conference of the Parties as warranting AConcerted Action@;
2. Other Appendix I species;
3. Species or taxonomic groups identified by the Conference of the Parties as warranting ACo-operative Action@;
4. Appendix II species;
5. Other migratory species (exceptionally, within the framework of projects directed towards CMS species, as an incentive for non-Parties to join the Convention).

#### **Eligibility criteria**

Governmental institutions, non-governmental organizations, and independent conservationists and researchers engaged in the conservation of migratory species may submit proposals, with priority given to projects undertaken in, or in co-operation with, developing countries that are CMS Parties. While many proposals are expected to originate from within the Scientific Council, this is not to say that proposals from other sources could not be considered if they would address the concerted or co-operative actions described above, and perhaps encourage other countries to join the Convention. Preference would be accorded as follows to:

- a) Projects in developing countries that are CMS Parties;
- b) Projects undertaken jointly in two or more developing countries, at least one of which is a CMS Party;
- c) Projects in CMS Parties with economies in transition;
- d) Other CMS Parties;
- e) Other countries.

## **Examples of activities eligible for financial support**

1. Conservation activities in the field
  - \$ field studies that seek to improve the current state of knowledge of the distribution and conservation status of species covered by CMS. (As a general rule, basic scientific research will not be supported.)
2. Activities aimed at building regional co-operation /dialogue
  - \$ small, regionally-based workshops that bring together specialists from a number of countries, in particular to review the implementation of CMS Agreements/Memoranda or to promote their development.
3. Capacity-building activities
  - \$ specialized training workshops led by top specialists in their field
  - \$ preparation of teaching materials
  - \$ development of information sources (e.g. databases) with broad application
4. Awareness-building activities
  - \$ development of information materials (newsletters, posters, videos etc.) targeted at national or regional audiences.

## **Funding limits**

The Secretariat suggests that, as a general rule, individual project proposals be limited to a maximum of USD 40,000, but that some flexibility be retained in this regard. In most parts of the world this amount should suffice to implement or stimulate the further development of useful projects of the kind CMS wishes to support. In accordance with the instructions of the Conference of the Parties, the Secretariat will endeavour wherever possible to identify organizations that would be in a position to implement a number of project activities under one umbrella (perhaps through sub-contracts) in order to minimize administrative bureaucracy. It is suggested that a minimum funding level of USD 4,000 be established, to discourage the submission of too many small projects which the Secretariat does not have the capacity to administer.

## **Project Duration**

One year or less is proposed, in order to be able, where necessary, to cover the migration cycle of the species concerned while at the same time ensuring the availability of results in a reasonable time frame. If the project is successful and follow up is needed, consideration could be given to approving a second phase.

## **Requests for proposals**

The CMS project funding programme and a request for submission of proposals, including from selected external sources, will be implemented in accordance with the eligibility criteria described above.

The format for proposals will be clearly stipulated, and a request made that proposals be submitted in electronic form in order to facilitate editing

## **Project Selection**

A screening panel consisting of the five Council-appointed rapporteurs (one for each large taxonomic group: Birds, Mammals, Cetaceans, Marine Turtles and Neotropical species) and the Secretariat would be formed to coordinate the evaluation and ranking of proposals during meetings of the Scientific Council. The panel would also be charged with this task for any proposals received exceptionally between meetings of the Council.