



**Organisation of Eastern Caribbean States**

**NATURAL RESOURCES MANAGEMENT UNIT**

**OECS NRMU  
SMALL PROJECTS FACILITY**

*"...to contribute towards institutional development and the strengthening  
of local management and technical capacity within the  
OECS Member States."*

**MANUAL**

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# OECS NRMU SMALL PROJECTS FACILITY MANUAL

The Small Projects Facility is funded by the British Government, through a project Memorandum between the Department for International Development for the Caribbean (DFID/C) and the Organisation of Eastern Caribbean States (OECS).

## **TABLE OF CONTENTS**

1.     **Small Projects Facility - Summary Procedure**
  - i.       Rational behind the Small Projects Scheme
  - ii.      Brochure
  - iii.     How to use the Manual
  
2.     **Preliminary Application**
  - i.       Preliminary Application Form
  - ii.      Procedures for the Screening, Review and Internal Management of projects within the Natural Resources Management Unit (NRMU)
  - iii.     Evaluation Form for Preliminary Application
  
3.     **Guidelines for Proposal Writing**
  - i.       Evaluation Form for Project Proposal
  
4.     **Contract Template**
  - i.       The Agreement
  - ii.      Project Proposal (Annex 1)
  - iii.     Standard Provisions for Agreements (Annex 11)
  
5.     **Format for Technical and Financial Reporting**
  
6.     **Monitoring and Evaluation Systems**
  - i.       Project Implementation Monitoring System for Small Projects Facility
  - ii.      Evaluation System for Small Projects Facility

**Annexes:**

- |         |   |  |
|---------|---|--|
| Annex 1 | - | Letter of Acceptance of Preliminary Application  |
| Annex 2 | - | Letter of Disapproval of Preliminary Application |
| Annex 3 | - | Letter for Disbursement of Payments              |

## **SECTION 1**

### **SMALL PROJECTS FACILITY - SUMMARY PROCEDURE**

## **1. Rationale for the Small Project Facility.**

*“To ensure that high priority , small scale coastal management problems are identified and effectively addressed and community based and Non-Governmental Organisations capacity for collaboration with governments for environmental management is enhanced.”*

The small projects facility was established to assist governments, Non-Governmental Organisations (NGOs) and Community Based Organisations (CBOs) within Member States in initiating projects which address local coastal resource use issues. It is hoped that this scheme will catalyze community participation in sustainable resource management thus enabling the establishment of a network of local response initiatives. Funds granted for development of small projects may be used to contribute towards institutional development of Non Governmental and Community Based Organisations. In supporting such organisations, the Natural Resources Management Unit (NRMU) of the Organisation of Eastern Caribbean States (OECS) seeks to strengthen local management and technical capacity within Member States.

The focus of the small projects scheme is on *Natural Resources Management*, and consequently, the interactions between resource use systems, particularly the potential impact of land use on near shore marine environment. The remit of the small projects scheme is broad, however, four main areas of scope have been selected for project application procedures. It encompasses:

- 1) Parks, protected Areas and Eco-tourism
  - 2) Sustainable Management of Agriculture, Forestry and Fisheries
  - 3) Wildlife and Conservation
  - 4) Other Projects relating to the Sustainable Management of Coastal Resources.
- Environmental Education is a high priority activity in all areas.

The principal criterion for the selection of projects is that awards will support the strengthening of capacity in Member States with respect to environmental and natural resource management. The award will also consider the purpose of the facility, which is to enhance effective partnerships between governments and civil society for natural resources management. Some of the fund will be dedicated to projects for implementing interventions in resources management within a participatory and partnership framework. Limited funds will be allocated for training. These requests have to show how they link up and support larger sustainable resources management interventions.

## **HOW TO USE THE MANUAL**

The purpose of this Manual is twofold:

1. To establish procedures for the screening, review and internal management of projects, under the auspices of the OECS-NRMU; and
2. To provide an evaluation system at the end of the project cycle.

The Manual will serve, first of all, as a working tool for the OECS-NRMU in the day-to-day management of the Facility. Secondly, it will provide useful guidelines for the Focal Points of the OECS-NRMU, as well as prospective beneficiaries.

There are six (6) sections to the Manual:

1. Small Projects Facility - Summary Procedure;
2. Preliminary Application;
3. Guidelines for Proposal Writing;
4. Contract Template;
5. Format for Technical and Financial Reporting; and
6. Monitoring and Evaluation Systems.

There are three (3) Appendices contained in the Manual, and these refer to Letters of: Acceptance of Preliminary Application; Disapproval of Preliminary Application; and the Disbursement of Funds.

We hope, you find this Manual user friendly, and lends itself to the efficient and effective delivery of the Small Projects Facility of the OECS-NRMU to the Member States.



**ORGANISATION OF EASTERN CARIBBEAN STATES  
NATURAL RESOURCES MANAGEMENT UNIT**

**OECS-NRMU SMALL PROJECTS FACILITY  
PRELIMINARY APPLICATION FORM**

**Please type or print all information. Continue answers on separate sheets if necessary**

1 (a) Name of Organisation:

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**A. Organisational Information**

Please provide the following information concerning the applying organisation. Use separate sheets if necessary.

(b) Mailing Address:

-----  
-----  
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Describe the major beneficiaries of the organisation's work:

-----  
-----  
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Telephone No.: -----

Fax No.: -----

Email address: -----

© Contact Person: -----

Mailing Address:

-----  
-----  
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Indicate persons to be involved in the project. (Skills, position within the organisation, number of persons)

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-----  
-----  
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Telephone No.: -----

Fax No.: -----

Email address: -----

Indicate the organisation's membership and outline the management structure:

-----  
-----  
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2. Estimated amount requested:

EC\$ -----

(A detailed budget will be required if you are invited to submit a proposal)

How do the members and beneficiaries participate in the planning and management of the organisation and its activities?

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3. Indicate Project Category:

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**B. Project Information**

Title of Project:

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On a separate page, in 300 words or less, provide a concise summary of your proposed project to be funded. Be sure to include a statement of the problem or issue to be addressed, specific objectives, activities to be implemented, measurable outputs, benefits to be obtained from the outputs, and how the project will improve the sustainability of the Organisation. Indicate how past exercises in implementing similar projects support this proposal. Please type or print clearly.

What is the goal(s) of the Organisation?

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What activities have been implemented over the last two years?

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What partnership arrangements are envisaged in this project? Detail the roles and responsibilities.

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To date, who has been involved in the development of the project proposal?

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How will the project be monitored?

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**C. Letter of Endorsement**

Please enclose a letter of endorsement from the relevant Government Ministry. (Letter should include comments on the financial sustainability of the organisation).

D. Evidence of official status of your Organisation or supporting counterpart Organisation. (Certificate of Registration, Articles of Association, etc.).

E. Please indicate how the project will be funded.



### **Procedures for the Screening of the Preliminary Application**

On receipt, the Registry will forward the initial application to the Head of Unit of the OECS-NRMU. The HOU, in collaboration with the Manager of the Small Projects Facility SPF), will determine the relevance of the proposal to the SPF. Based on this determination, the proposal will be forwarded to the appropriate Technical Officer, who will submit his comments to the Manager for discussion at a meeting of the Review Committee, and then to the Technical Officer(s) with lead responsibility for the administration of the Small Projects Facility. The Officer(s) will note the date of receipt, category of request, agency/organisation and proposed cost, after which it will be submitted to the Head of Unit. A Review Committee will review the application based on a set of pre-determined criteria contained in the checklist.

The Manager of the Facility will convey the decision of the Review Committee to the applicant(s). If applicable, the Officer(s) will invite the applicant(s) to submit a proposal in accordance with set procedures. A special file will be opened by the Manager at this time for all applicants from whom a proposal has been invited.

### **Procedures for the Review of Project Proposals**

On receipt, the Registry Assistant will forward the project proposal to the Head of Unit, and then to the Manager of the Small Projects Facility. The Manager will note the date of receipt of the proposal. The Review Committee will co-opt other technical officers from the OECS-NRMU as required to assist in the review of the proposal. The Review Committee may use expertise from outside the OECS-NRMU to assist with the review of the proposal on condition that the required skills are not resident in the Unit.

The Manager will inform the applicant of the decision, or request any further information which may be required to complete the review process. If full approval is granted, the Manager will proceed to prepare the Grant Agreement which will be vetted by the Head of Unit. The Manager will obtain the relevant signatures on the Agreement, and this will be sent to the Accounts Department for the preparation of the first disbursement.

### **Procedures for the Internal Management of the Projects**

Subsequent to the signing of the contract by both parties, the Manager, in collaboration with the appropriate Technical Officer will prepare the network monitoring and evaluation systems for the project

## **FINANCIAL PROCEDURES FOR SMALL PROJECTS**

The Small Projects Facility has been established as a Programme Area within the NRMU. Funding is sourced from a number of different Donor Agencies, and will be implemented via CBOs, NGOs, and Public and Private Sector Organisations.

- To qualify for assistance under the Small Projects Facility, the applicant would have to submit a Project Proposal and Budget to the OECS-NRMU for perusal and consideration. When the plan is approved, an account must be opened for transfer of funds. The Budget should indicate the level of counterpart funding – including in-kind contributions.
- Payments will be made by pre-determined tranches, set against milestones for achieving outputs. Each tranche will have to be accounted for before another one is issued. All bills and supporting documents must be sent to the OECS-NRMU for reconciliation. A final tranche amounting to ten per cent (10%) of the value of the grant will be retained for disbursement only after the receipt of all financial documents, and the final report.
- Purchase of any equipment for the Project must be tendered (there must be a minimum of three tenders), and before the Supplier is chosen, concurrence must be sought from the OECS-NRMU.
- Purchase of equipment must be accompanied by supporting suppliers invoices, and the equipment must be new (the OECS-NRMU will not accept purchase of second-hand equipment).
- Funding for the Project will be up to a maximum of, but not limited to US\$10,000.00. However, each Project will be examined on its own merit.
- The Project life is specific, therefore, a beginning and end date must be stipulated. Should it become necessary to surpass the specified date, a request for an extension with renewed dates must be forwarded to and approved by the NRMU, in order to facilitate continued funding. The extension must be on a no-cost basis, to facilitate the completion of the Grant Agreement.
- Should it become necessary to travel under the Small Projects Facility, the traveling officer will have to retire all advances given, with supporting documentation, i.e., ticket stub, hotel bills, airport departure tax, etc. (a five day grace period after the date of return is allowed for such submission).

- All monies transferred under the Small Projects Facility must be spent as per the agreed Project proposal. There must be no deviation from the original agreement without prior consent from the NRMU.
- All assets purchased, must be given an identification tag, and a register of all fixed assets must be kept.

**OECS-NRMU SMALL PROJECTS FACILITY**  
**EVALUATION FORM FOR PRELIMINARY APPLICATION**

Name and Address of Organisation: -----  
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-----  
-----  
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Project Title: -----

Project Holder: -----

Date: -----

**A. Preliminary Application Checklist**

1. Have all the required documentation been submitted?

- (a) Application Form -----
- (b) Letter of Endorsement -----
- © Letter of Official Status of Organisation or  
Supporting Agency -----
- (d) Copy of Financial Report of the Organisation -----

**B. Criteria for Evaluation**

Score each of the following on a scale of 1 – 5 on the following descriptions:

- |   |   |                     |   |   |                        |
|---|---|---------------------|---|---|------------------------|
| 5 | = | excellent           | 4 | = | very good              |
| 3 | = | good/acceptable     | 2 | = | fair/needs improvement |
| 1 | = | poor/not acceptable |   |   |                        |

- 1. Overall project feasibility -----
- 2. Clarity and appropriateness of project goal, objectives and results -----
- 3. Clarity in the identification of issues, and how the project will  
address them -----
- 4. The degree of community participation in the project -----
- 5. Significance of benefits and results at the national level -----
- 6. Sustainability of project activities and benefits -----
- 7. Does the proposed project fall within the categories identified  
by the NRMU -----

8.	Demonstrated history of successful projects	-----
9.	Clear indication of partnership arrangements (roles/responsibilities)	-----
10.	Spin-off effects (social and economic)	-----
11.	Proposed budget in relation to the ceiling of the Small Projects Facility	-----
12.	Level of counterpart funding (including in-kind contributions)	-----
13.	Capacity of supporting agency (where appropriate)	-----
14.	Financial status of the Organisation	-----
<b>TOTAL SCORE</b>		-----

**Recommendations:**

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**Signed:** -----

**Date:** -----

## **Guidelines and Procedures Manual for the OECS Natural Resources Management Unit, Small Projects Facility**

### **Application Procedures**

The interested organisation must first submit a Preliminary Application for evaluation. The initial evaluation will be the responsibility of the OECS-NRMU. If a proposal is invited, the qualifying organisation will then be sent a Project Proposal Form.

Project Proposals will be approved by the OECS-NRMU Small Projects Review Committee. Ultimate decision lies with the Head of Unit of the OECS-NRMU.

Different categories of funding may be awarded, including quick response types of projects, as well as large-scale projects. The nature of the assistance requested should be clearly indicated in the preliminary application. Please note that only limited funds are available for quick response types of initiatives and such other initiatives as travel grants.

### **Proposal Format**

If a Project Proposal is invited, the office of the OECS-NRMU will send a Proposal Form to the requesting organisation. The Proposal Form will follow the format given below. It is suggested that key issues are presented, in brief, within Preliminary Applications.

#### **Goal**

- What is the overall *development goal* of the proposed project? The development goal should be the wider goal to which this project contributes.
- What are the major problems/issues to be addressed by this project?
- How could the extent of these problems be measures?  
Example: The Goal of the Small Projects Facility is: “*To increase community participation and partnerships in natural resources management.*”

#### **Purpose**

- What are the *specific objectives* of the Project?
- How will this project seek to contribute to addressing the issues outlined as the overall *development goal*?

- What groups will be directly involved or externally affected by this project? Who or what will stand to be gained, and what forfeited by this project? How will these groups participate in the design and implementation of the project? To what extent have they been involved in identifying the problems to be addressed by this proposed project.
- Are there any links between this project and other activities seeking to address the *development goal*?

Example: The purpose of the Small Projects Facility is: “*Capacities of NGOs and CBOs to develop and implement sustainable development projects enhanced.*”

### **Activities**

- Construct an Action Plan and Implementation Schedule for the planned activities. This could take the form of a costed work plan.
- What activities will be undertaken to achieve the Project Purpose?
- How will these activities address the problems identified, and how will their impact be measured?
- How will activities or benefits be sustained after funding of the project has been terminated?
- Outline how it is proposed to objectively monitor and evaluate project activities.
- Having identified the beneficiaries of the project, indicate how and to what extent these groups will stand to gain from project activities.
- Indicate which groups or individuals will stand to lose from project activities. Can this loss be quantified?  
Example: *Provide training in Fisheries Data and Information Management.*

### **Indicators:**

- Identify the quantifiable outputs or products anticipated from the activities.
- Describe the main indicators of success you anticipate for this project, and how you propose to objectively monitor and evaluate these. In evaluation, indicators of success should clearly show the achievement of project objectives.  
Example: *‘Member States have improved systems for collection, collation, and storage of fisheries catch, effort and biological data by end of December, 2000’.*

### **Constraints (Assumptions and Risks)**

- Identify the risks to project success associated with the implementation of this project.
- What are the external factors critical to achieving project objectives?
- Can any constraints be recognised which may affect implementation of project activities?

Example:

- Mechanisms for enabling community partnerships are in place
- Availability of financial resources

### **Qualification of requesting organisation**

- Outline any previous experience which the organisation has in undertaking projects of a similar nature, including supporting documents such as publications, project descriptions or recommendations.
- Submit a summary of qualifying experience, of those individuals to be involved in the proposed project. Give brief terms of reference for their involvement in the project.
- What are the principal institutional capabilities, relevant to successful implementation of the project, either of your organisation or of any collaborating organisations providing project support.
- Identify and briefly describe collaborating or counterpart organisations that will participate in the project.
- Submit copies of official registration of the applying organisation, indicating the non-governmental and non-profit status of the organisation, if available.

### **Project Costs and Proposed Sources of Funding**

1. In preparing the proposal, the requesting organisation will submit:
  - The total project costs.
  - Details of costs related to personnel, equipment and supplies, services, monitoring and evaluation, travel and overhead.
  - Amount requested from the OECS-NRMU Small Projects Facility
  - Contributions from the organisation and any other agency



- Cash or kind contribution from the community or organisation
  - Details of the internal financial control system to be used for the project.
2. The capital component of the budget proposal should not exceed the amount to be stipulated by the OECS-NRMU.
  3. Request for Project Delivery Support (refer to Annex 1) should not exceed 15% of the overall budget.
  4. The counterpart's cash or kind contribution towards the project should be valued as at least 15% of the overall budget costs.
  5. Overhead costs (refer to Annex 2) should be the responsibility of the requesting organisation.

### **Grant Agreements**

1. Once the proposal has been approved, the OECS-NRMU will draw up a Grant Agreement with the requesting organisation.
2. The OECS-NRMU will ensure that the requesting organisation complies with the Grant Agreement and the standard provisions therein.
3. The OECS-NRMU will assist in the monitoring of the compliance status of the requesting organisation.
4. The requesting organisation will submit progress reports on project activities described in the proposal and Grant Agreement.
5. The progress report will be reviewed initially by the Manager/appropriate Technical Officer, who will then provide a summary report to the Head of Unit and the Facility Manager.
6. The Officer will follow up on decisions made by the Review Committee. Ultimate responsibility lies with the Head of Unit of the OECS-NRMU.

### **Checklist for Evaluating Project Proposals**

The project proposal should clearly address the issues laid out within the **Small Projects Facility Guidelines**. Additionally, the evaluation team will assess the extent to which the issues outlined below have been addressed within the proposal.

<b>Project Design</b>	<b>Rating*</b>	<b>Comments</b>
<ul style="list-style-type: none"><li>• Clarity and appropriateness of project goals, objectives and results</li><li>• Clarity in the identification of issues and how the project will address them</li><li>• Significance of benefits/results at the national level</li><li>• Completeness and clarity of budget</li><li>• Overall Project Feasibility</li><li>• The adequacy of procedures for implementing the Project, including proposed management structure</li><li>• The extent of any technical and cost uncertainties or risks. Have provisions been made to guard against or account for these risks?</li><li>• The suitability of Objectively Verifiable Indicators(OVIs) to the assessment of levels of achievement of project activities and objectives, including arrangements for gathering data for OVIs. Does the proposal include any explanation of choice of indicators?</li><li>• Arrangements for ensuring sustainability of project objectives, including whether any alternative project options have been considered.</li></ul>		

Project Design	Rating*	Comments
<p><b>Environmental</b></p> <ul style="list-style-type: none"> <li>• Beneficial and environmental impacts likely to result from the project.</li> <li>• Adverse environmental impacts likely to result from project and any suggested precautionary or mitigatory measures (within and outside the project area).</li> </ul>		
<p><b>Social and Economic</b></p> <ul style="list-style-type: none"> <li>• The extent to which the different stakeholders in the project have been identified.</li> <li>• The range of stakeholders who have been involved in project identification and design.</li> <li>• Consideration for the different social groups likely to be impacted by the project.</li> <li>• Socio-economic and socio-cultural impacts</li> <li>• Distribution of the costs and benefits between groups.</li> <li>• Consideration of any indirect impact on stakeholders</li> <li>• Level of community participation.</li> <li>• Level of stakeholder participation in the implementation of the project.</li> </ul>		

Project Design	Rating*	Comments
<b>Institutional and Financial</b> <ul style="list-style-type: none"> <li>• The financial sustainability of the project and operating agency. Obligations of operating agency for sustainability of project outputs.</li> <li>• The structure and management capacities of the project operating agency.</li> <li>• The technical and managerial capacity of the project management team, including numbers and skills of project staff.</li> </ul>		

### Total Score

(\*Rating should follow a scale of 1 – 5 based on the categories outlined below:

- 5 - excellent
- 4 - very good
- 3 - good/acceptable
- 2 - fair/needs improvement
- 1 - poor/not acceptable

### Recommendations:

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## Annex 1

In the Guidelines, applicants are asked to structure their proposal around the following considerations:

### Goal

- What is the overall *development goal* of the proposed project? The development goal should be the wider goal to which this project contributes.
- What are the major problems/issues to be addressed by this project?
- How could the extent of these problems be measures

### Purpose

- What are the *specific objectives* of the project
- How will this project seek to contribute to addressing the issues outlined as the overall *development goal*?
- What groups will be directly involved or externally affected by this project? Who or what will stand to be gained and what forfeited by this project?
- Are there any links between this project and other activities seeking to address the *development goal*?

### Activities

- Construct an Action Plan and Implementation Schedule for the planned activities. This could take the form of a costed work plan.
- What activities will be undertaken to achieve the Project Purpose?
- How will these activities address the problems identified? how will their impact be measured?
- How will activities or benefits be sustained after funding of the project has been terminated?
- Outline how it is proposed to objectively monitor and evaluate project activities.

- Having identified the beneficiaries of the project, indicate how and to what extent these groups will stand to gain from project activities.
- Indicate which groups or individuals will stand to lose from project activities. Can this loss be quantified?

### **Indicators**

- Identify the quantifiable outputs or products anticipated from the activities;
- Describe the main indicators of success you anticipate for this project, and how you propose to objectively monitor and evaluate these. In the evaluation, indicators of success should clearly show the achievement of project objectives.

### **Constraints**

- Identify the risks to project success associated with the implementation of this project;
- What are the external factors critical to achieving project objectives?
- Can any constraints be recognised which may affect implementation of project activities?

## TECHNICAL AND FINANCIAL REPORTING FORMAT FOR SMALL PROJECTS

Grant Agreement Number: .....

Project Title: .....

Progress Report No.: .....

Period Covered by this Report: .....

Funded by: .....

Submitted by: .....

### NARRATIVE SECTION

1. **Project Summary:** the recipient Organisation will give a concise summary of the project's goal, objectives, and beneficiaries.
2. **Status of Activities undertaken relative to goal(s) and specific objectives:** the Organisation will state the activities undertaken, and will relate these to the objectives stated in the approved project proposal.
3. **Status of Activities undertaken relative to planned activities for the reporting period:** activities should refer to the activities scheduled in the implementation plan.
4. **Difficulties / Constraints / Concerns:** the Organisation will describe any administrative, management, and technical constraints related to the implementation of project activities and how these have or will be addressed.

5. **Outline the activities planned for the following phase:** the Organisation should note any planned modifications to the activities as stated in the proposal.
6. **Recommendations / Suggestions:** if there are any recommendations for the next activity period, for example, a request for an extension, it should be indicated here. It will be the responsibility of the OECS-NRMU Review Committee to decide on whether these recommendations / suggestions will be permitted.
7. **The Organisation should attach a financial report to the narrative:** (Please provide an Income and Expenditure Statement).



**SECTION 111**

**MONITORING SYSTEMS FOR THE SMALL PROJECTS  
FACILITY**

## **Project Implementation Monitoring System for The Small Projects Facility**

Once a project has been approved by the review committee, the process of implementation will begin. It will therefore be the task of the OECS-NRMU to monitor the operational aspects of the project. Each project proposal will include an implementation plan scheduling the component activities of the project.

In most projects, there is a sequential relationship between the various activities. These activities are performed in such a sequence because of technical or technological restrictions. One of the tools used to monitor the operational management of project activities is that of the Network Design, which consist of diagrammatically expressing the sequential relationships among the planned activities. The numbering of the network facilitates the process of monitoring and is therefore a useful tool for the officer(s) responsible for the management task.

In order to illustrate how the network system works, we shall use the Belvidere Estate Tourism Project as an example. [see following page for detailed activities]. In developing the network, the following system known as the Ford & Fulkerson's Rule may be applied:

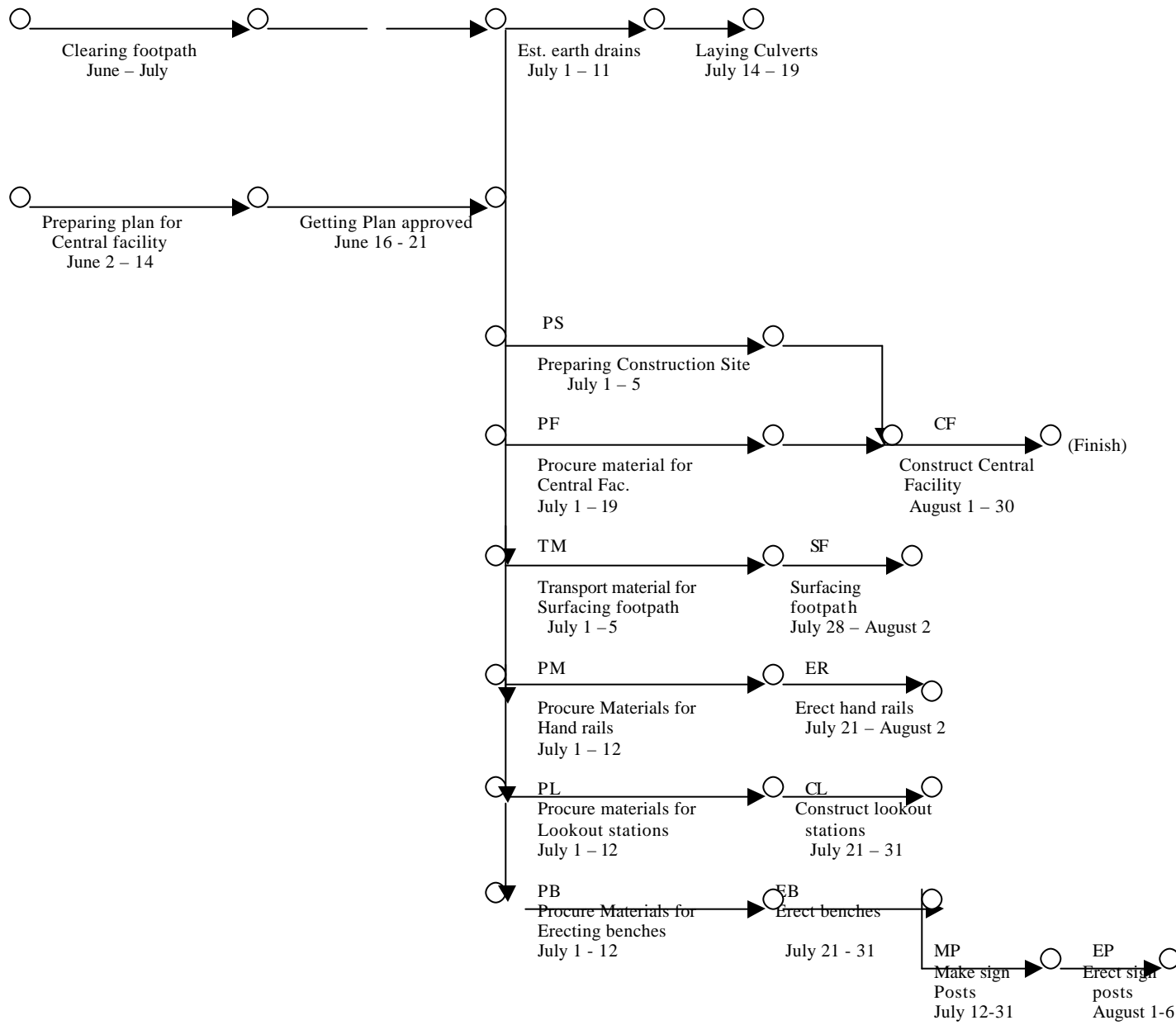
1. Start with all events which do not have any predecessors. Number them, top to bottom, starting with the number 1;
2. Having numbered all such events, drop all the arrows emanating from these numbered events;
3. Step (b) creates several events which do not have any predecessor arrows. Again, number these events in a top-to-bottom direction; and
4. Repeat steps (b) and (c) until all events are numbered.

From the description of the activities in the Belvidere Estate Eco-Tourism Project, we shall now list the activities and then provide the network diagram.

**Activity**

<b>Name</b>	<b>Description</b>	<b>Immediate Predecessor</b>
CF	Clearing foot path	-
EE	Establishing earth drains	CF
LC	Laying Culverts	EE
TM	Transporting materials/nutmeg Shells for surfacing footpath	CF
SF	Surfacing footpath	TM
PM	Procuring materials for erecting Hand rails	CF
ER	Erecting hand rails	PM
PL	Procuring materials for Lookout Stations	CF
CL	Constructing Lookout stations	PL
PB	Procuring materials for erecting Benches	CF
EB	Erecting benches	PB
MP	Making signposts	EB
EP	Erecting signposts	MP
PC	Preparing Plan for Central Facility	-
GP	Getting Plan approved	CF, PC
PS	Preparing construction site	GP
PF	Procuring materials	GP, GS
CF	Constructing the Facility	PF

## NETWORK DIAGRAM



Activities	June				July				August			
<input type="checkbox"/> Complete clearing foot path												
<input type="checkbox"/> Establish earth drains												
<input type="checkbox"/> Laying culverts												
<input type="checkbox"/> Transporting materials (nutmeg shell) for surfacing foot path												
<input type="checkbox"/> Surfacing foot path												
<input type="checkbox"/> Procuring materials for hand rails												
<input type="checkbox"/> Erecting hand rails												
<input type="checkbox"/> Procuring materials for constructing Lookout Stations												
<input type="checkbox"/> Constructing Lookout Station												
<input type="checkbox"/> Procuring material for erecting benches												
<input type="checkbox"/> Erecting benches												
<input type="checkbox"/> Making sign posts												
<input type="checkbox"/> Erecting sign posts												
<input type="checkbox"/> Preparing plan for constructing Central Facility												
<input type="checkbox"/> Getting Plan approved												
<input type="checkbox"/> Preparing constructing site												
<input type="checkbox"/> Procuring materials												
<input type="checkbox"/> Constructing the facility												
<b>Total</b>												

## **SECTION IV**

### **CONTRACT TEMPLATE**



Agreement No.: [Year] [Ag. No.] funding source)

Our Ref.:

## ORGANISATION OF EASTERN CARIBBEAN STATES

**GRANT AGREEMENT BETWEEN THE ORGANISATION OF EASTERN  
CARIBBEAN STATES AND .....  
FOR .....  
.....**

**[Date]**

**[name of contractor]**

**Mr./Ms. Jim Jones**

**P.O. Box 0000**

Castries

Saint Lucia

Dear Mr./ Ms. Jim Jones

**[Background:]**

**The [Name of project/Ministry/Agency] is provided a grant by the Organisation of  
Eastern Caribbean States  
(OECS) to .....  
.....**

**Funding for this activity is being provided by .....  
The Technical Director of this contract is Dr. Vasantha Chase, Head of the OECS  
Natural Resources Management Unit (NRMU). The [Name of Project/Ministry/  
Agency] agrees to direct all technical deliverables to the Technical Director.**

**This Grant Agreement is being offered on the recognition of the purpose of the OECS Small Projects Facility, which is to enhance effective partnership between Government and Civil Society for Natural Resources Management.**

**The partnership arrangement is a prerequisite for the issuing of this Grant and the implementation of the activities detailed in Annex 1. The first disbursement of funds will be issued against a detailed plan of how activities identified in Annex 1 will be undertaken within the partnership framework.**

**Authorised to sign modifications on behalf of the OECS is Mr. George Goodwin, Director of Functional Cooperation or his designee.**

**Authorised to sign on behalf of this Grant Agreement is .....**

The term of this Grant Agreement begins on ..... and terminates on ....., unless earlier terminated pursuant to paragraph 3 below or extended by mutual written agreement.

The following terms and conditions apply to this Grant Agreement:

**[terms of work]**

**1. The Work**

The **[Name of project/Ministry/Agency]** agrees to facilitate the project inputs as specified in the Project Proposal (Annex 1).

**1.1 Schedule of Delivery**

[Identify date for delivery of outputs].

The **[Name of project/Ministry/Agency]** will submit an interim report on completion of .....by [date]. On completion of the project, a final report consisting of three printed copies and one electronic copy preferably in MS Word 97 format, (or Word Perfect 6 or later version) will be presented to the OECS-NRMU no later than [date].

**Three (3) copies of the final report must be submitted to the Head of Unit of the NRMU no later than [date]. This must be accompanied by a diskette copy of the document in MS Word 97 format (or Word Perfect 6 or later).**

**1.2 Operational Arrangements**

The **[Name of project/Ministry/Agency]** will work directly with the appropriate technical staff of the OECS-NRMU.



## 2.Compensation

**[identify all costs that will be paid to the contractor]**

2.1 The **[Name of project/Ministry/Agency]** will receive a grant totaling EC\$.....to cover the cost of activities as described in the Project Proposal. The schedule of payments will be:

- i) In the case of “Quick Response Grants”, 50% or EC\$.....on signing the contract, 40% or EC\$.....on receipt of an interim report and 10% or EC\$.....will be paid on submission of the final report and all other deliverables.
- ii) In the case of “large scale grants”, the schedule of payments will be determined by the milestones agreed upon by the grantee and the OECS. In any event, ten per cent (10%) of the total grant will be retained until the final submission of the report and other deliverables.

The total cost of the Grant shall not exceed the above-mentioned amount, and the OECS shall not be liable for any other fees or expenses. All payments will be effected in the currency of Eastern Caribbean Dollars.

2.2 The invoices shall be promptly submitted to the Head of Unit. Satisfactory completion of the work means acceptance of the work by the Head of Unit or her Designee.

### 2.3 Use of Funds:

2.3.1 The **(insert name of organisation)** agrees to use the funds provided under this Grant Agreement only for reasonable, allowable costs as identified in the Project Budget and generally accepted cost and accounting principles.

2.3.2 The **(insert name of organisation)** agrees that no funds provided under this Grant Agreement will be used to attempt to influence the outcome of any public election or to undertake any activity for a purpose that is not exclusively charitable, scientific, literary, or educational.

2.3.3 Any funds provided under this Grant Agreement in U.S. Dollars which are exchanged to local currency must be exchanged according to bank rates applicable on the day of transaction. Transactions must be verified through bank receipts or other documents or publications sufficient to demonstrate the legality of such transactions.

- 2.3.4 Financial Records: The **(insert name of organisation)** agrees to keep separate and accurate financial records in accordance with generally accepted accounting principles and procedures so that payments received and expenditures made pursuant to this Agreement can be readily identified, and to maintain those records for a period of at least three (3) years, after the expiration or termination of this Grant Agreement. These financial records must include receipts for all expenditures in excess of EC\$25.00. Tranches of money requested as per the schedule of payments must be accompanied by a reconciliation indicating expenses for the previous tranche.
- 2.3.5 The books of account and other financial records of the **(insert name of organisation)** which are relevant to this Agreement shall at all times be available for inspection, review, and audit by the OECS.
- 2.3.6 The **(insert name of organisation)** agrees to reimburse the OECS at **(name of organisation)** sole expense, the amount of any expenditures disallowed by auditors, through an audit exception or other appropriate means, based upon a finding that such expenditures failed to comply with a provision of this Grant Agreement.
- 2.4 Audits and Accounting Records:
- 2.4.1 Audits: The **(insert name of organisation)** is subject to audit by the OECS. The **(insert name of organisation)** agrees to have any required audit performed at the close of the project or at the end of the **(insert name of organisation)** fiscal year(s) in accordance with the OECS By-laws and Regulations, or other applicable audit requirements. All the monies left over at the expiration of the Grant Agreement after relevant reconciliation's, must be matured to the OECS. The refund must be accompanied by a copy of the reconciliation.
- 2.4.2 Accounting Records: The **(insert name of organisation)** shall preserve and make available, its accounting records and documents for examination and audit by the cognizant OECS Controller, or their authorized representatives: (1) until the expiration of three years from the date of termination of the Grant Agreement; (2) for such longer period, if any, as is required to complete an audit to resolve all questions concerning expenditures unless written approval has been obtained from the OECS. The **(insert name of organisation)** agrees to make available any further information requested by the cognizant OECS agency with respect to any questions arising as a result of the audit; and (3) if any litigation, claim, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.

- 2.4.3 Matching Contributions: As detailed in Section F, Funding, the **(insert name of organisation)** agrees to record the amount of the matching contribution on all financial reports with separate documentation as necessary. Cumulative project expenditures by the **(insert name of organisation)** must include at least the proportion of matching funds to the OECS funds specified in this Grant Agreement

### 3. Termination

- 3.1 Without liability of any kind, the OECS may terminate this Grant Agreement upon written notice to the [Name of Project/Ministry/Agency]. (Notice of termination). In the event such notice is given, the OECS shall not be obligated to pay for any work performed or expenses incurred after the Termination date, and the [Name of Project/Ministry/Agency] shall stop work and take reasonable steps to preserve and protect all work undertaken to date and comply with instructions from OECS as to the disposition thereof.
- 3.2 The performance of the Work under this Grant Agreement may be terminated by the OECS in whole, or in part, in accordance with this clause, whenever the [Name of Project/Ministry/Agency] defaults in performance of this Grant Agreement and shall fail to cure such default within a period of ten (10) days after receipt from the OECS of a written notice specifying the default. For the purpose of this clause, "default" means:
- i. Failure to perform the Work within the time specified or any extension thereof;
  - ii. Failure to perform the other provisions of this Agreement, or
  - iii. Failure to perform the Work in accordance with the terms of this Agreement.
- 3.3 Termination shall be effected by a Notice of termination to the [Name of Project/Ministry/Agency] specifying that termination is for default on your part, the extent to which performance of work under this Grant Agreement is terminated, and the date upon which such termination becomes effective.
- 3.4 After receipt of a Notice of termination and except as otherwise specified by the OECS, the [Name of Project/Ministry/Agency] shall:
- (1) Stop work under the contract on the date and to the extent specified in the Notice of Termination; and place no further orders except as may be necessary for the completion of the portion of Work under this Agreement which is not terminated;

- ii) Cancel all orders to the extent that they relate to the performance of the work terminated by the Notice of Termination;
  - iii) Complete performance of the part of the Work which has not been terminated by the Notice of Termination;
  - iv) Take such action as may be necessary for the protection of all property related to this Grant Agreement which is in the possession of the [Name of Project/Ministry/Agency] and which the OECS has title to;
  - v) Return to the Natural Resources Management Unit (NRMU) property related to this Grant Agreement which is in the possession of the [Name of Project/Ministry/Agency] and which the OECS has title to.
- 3.5 The [Name of Project/Ministry/Agency] shall submit to the OECS a written claim or invoice promptly but not later than three (3) months from the effective date of the termination, except as the OECS may agree in writing.
- 3.6 Both parties shall consult within thirty (30) days of the submission of the claim concerning the whole or any part of the amount to be paid (including any allowance for the fee) to the [Name of Project/Ministry/Agency] by reason of the termination of the Work. This Grant Agreement shall be amended accordingly, and the [Name of Project/Ministry/Agency] shall be paid the agreed amount.
- 3.7 Any disagreement regarding termination amounts or procedures shall be settled under the clause of this Grant Agreement entitled, "Arbitration".

#### **4. Special Expertise**

The [Name of Project/Ministry/Agency] recognizes that the [Name of Project/Ministry/Agency] expertise was important in inducing the OECS to enter into this Grant Agreement with [Name of Project/Ministry/Agency]. Therefore, the [Name of Project/Ministry/Agency] may not assign its rights or delegate its obligations and responsibilities under this Grant Agreement without the OECS's prior written consent.

#### **5. Indemnification**

The [Name of Project/Ministry/Agency] agrees to indemnify OECS, together with its employees against any claims, losses, damages, and other liabilities (including reasonable attorney's fees and other expenses) arising in connection with this Grant Agreement, except to the extent the claim, loss, damage or other liability is due to the fault of OECS.

**6. Controlling Law**

This Grant Agreement shall be deemed a contract made under, and shall be construed and enforced in accordance with, the laws of Saint Lucia, applicable to contracts fully executed and performed therein.

**7. Compliance with Laws**

The [Name of Project/Ministry/Agency] agrees to comply with all applicable laws, all labour and social laws. The [Name of Project/Ministry/Agency] shall be liable for all taxes arising out of payments made to [Name of Project/Ministry/Agency] pursuant to this Grant Agreement.

**8. Amendments**

This Grant Agreement represents the entire agreement between the OECS and [Name of Project/Ministry/Agency] on this subject matter. All amendments to this Grant Agreement must be in writing and signed by an Officer acting on behalf of [Name of Project/Ministry/Agency], and, on behalf of OECS by Mr. George Goodwin, Director of Functional Cooperation, or his designee.

The failure by either party to this Grant Agreement to enforce any of the provisions of this Grant Agreement shall be in no way considered a waiver for such provision or in any way affect the validity of this Grant Agreement.

**9. Severability**

In the event that any provision of this Grant Agreement shall be for any reason be held to be invalid or unenforceable by any adjudicative body of competent jurisdiction, unless such provision goes to the root of this Grant Agreement, this Grant Agreement shall continue in full force and effect and shall be interpreted as if such provision had never been contained herein. In the event the provision goes to the root of this Grant Agreement, the parties shall attempt in good faith to negotiate an amendment to this Grant Agreement as necessary to fulfill the purpose of the Grant Agreement.

**10. Arbitration**

Any controversy or claim arising out of or relating to this Grant Agreement, or the breach thereof, shall be settled by arbitration before a court of jurisdiction in Saint Lucia. Such court may charge all costs of the court proceeding to the other party.

Judgement upon award rendered may be metered in any court having jurisdiction, or application may be made to such court for a judicial acceptance of the award and an order of enforcement.

## **11. Force Majeure**

11.1 Neither party shall be responsible for any inability or failure to comply with the terms of this Agreement due to causes beyond its control or without the negligence or malfeasance of such party. These causes shall include, but not be restricted to: fire, flood, earthquake, explosions, acts of public enemy, war, rebellion, insurrection, mutiny, sabotage, epidemic, quarantine restrictions, labour disputes, embargoes, acts of God, acts of any Government of the member States of the OECS.

11.2 In the event of a force majeure, you shall be given written notice to the OECS within fifteen (15) days, including a statement describing the force majeure and its effects upon the performance of this Agreement. The parties shall, within ten (10) days after such notice, consult regarding action to be taken.

11.3 In the event of a force majeure, unless otherwise instructed by written notice by the OECS, you shall continue to undertake and perform the duties set forth in this Agreement as far as it is reasonably practicable.

11.4 In the event of a force majeure resulting in a short suspension of work, the parties shall consult for an eventual and reasonable extension of this Agreement to allow for satisfactory completion of the Work, if possible.

11.5 If your inability to perform by reason of the force majeure lasts for more than forty-five (45) days after notice has been given to the OECS, either party may terminate this Agreement and you shall be entitled to any sums payable in case of termination of this Agreement.

## **12. Conflict of Interest**

12.1 The [Name of Project/Ministry/Agency] and staff shall not accept any work which is in conflict with their obligation therein contained throughout the duration of the contract.

12.2 The [Name of Project/Ministry/Agency] and staff and sub-contractor(s) shall not accept any remuneration, commission, discount or similar payment from any person other than the Client.

### 13. **Copyrights**

13.1 The term “Works” shall refer to all works of authorship created by the contractor pursuant to this agreement, but not limited to films, photographs, graphic works, video recordings, computer programs and computerized materials, books, articles, writings and audio recordings (and all materials embodying such works of authorship ) whether produced during or after the term of this agreement. The OECS shall own all right, title and interest in the Works, including their modification and / or reproduction, in whole or in part.

### 14. **Credits**

14.1 The [Name of Project/Ministry/Agency] agrees to acknowledge the OECS-NRMU through the appropriate display of the OECS / (Project Number) logos and the use of the following acknowledgment:

“This activity is funded by .....Project. The .....Project is funded by.....(Project Number.....). The views expressed herein are those of the author (s) and do not necessarily reflect the views of the donor agency supporting the activity”.

### 15. **Notices**

Any notice by either party shall be sufficient only in writing and delivered in person or by telegraph or registered mail to the following addresses:

**[name and address of contractor]**

Mr./Ms. Jim Jones  
P.O.Box 000  
Castries  
Saint Lucia

and

Mr. George Goodwin  
Director of Functional Cooperation  
OECS

The Morne  
P.O.Box 1383  
Castries, Saint Lucia

To acknowledge acceptance of the terms and conditions of this Grant Agreement, including the terms and conditions of any attachments hereto, **sign all three originals in the space indicated below and return two (2) signed originals to the Head of Unit, OECS-NRMU. Please retain the third original and the attachments for your records.**

Sincerely,

.....  
**George Goodwin Jr.**  
**Director of Functional Cooperation**  
**OECS**

.....  
**Date**

The [Name of Project/Ministry/Agency] hereby agrees to the above terms and conditions.

.....  
**On behalf of [name of Project/Ministry/**  
**Agency]**

.....  
**Date**



## **Annex 1**

(Insert Project Proposal)

## **SECTION V**

### **EVALUATION SYSTEM FOR SMALL PROJECT FACILITY**

## Evaluation System for the Small Projects Facility

Evaluation will occur at two levels:

- (1) the individual project level
- (2) the overall Facility level

The assessments in (1) above will inform (2).

### 1). Evaluation of Individual Projects:

Evaluation at the **Individual Project** Level will refer to the initial log frame developed for the project. The logical Framework Approach (LFA) will ensure that Objectively Verifiable Indicators (OVI) are used to assess achievement of project purpose and objectives. Project evaluations should be undertaken jointly with the recipient, and should involve key stakeholders. The main function is to assess the degree of achievement of the project's objectives (Purpose and Goal) and to check the extent to which the assumptions outlined in the initial log frame were valid. Evaluation will not focus on an assessment of detailed project activities. The PERT system established for monitoring progress of the project will ensure that both quantifiable and qualitative indicators are incorporated in the evaluation. Quantification of outputs will have been given within project reports where possible. To ensure that evaluations are well focused, these will follow the following format:

PROJECT STRUCTURE	INDICATORS OF ACHIEVEMENT	RATING	COMMENTS RECOMMENDATIONS
(Project Objectives)  Goal:          Purpose:	(for the objectives stated, use logical framework indicators to assess level of achievement, indicating means of quantifying/assessing)	(Provide a rating for each objective based on the categories:  5 = excellent; 4 = very good; 3 = good/acceptable; 2 = fair/needs improvement 1 = poor/not acceptable	Provide comments on project objectives Provide recommendations Provide comments on assumptions which assumptions

**Average Rating:**

**General Recommendations:**

## **2). Evaluation of the Small Projects Facility**

Evaluations at the overall **Facility** level will refer back to the attached log frame for the Small Projects Facility. The Log Frame Approach (LFA) applied to individual project evaluations will also inform this level of evaluation. Output to Purpose reviews for the Small Projects Facility will use the Objectively Verifiable Indicators (OVI) indicated within the facility log frame. The evaluation reports completed for individual projects will be critical in assessing the extent to which the Objectives and Purpose of the Facility have been met.

Narrative Summary	Verifiable Indicators (OVI)	Means of Verification (MOV)	Important Assumptions
<p><b>Goal:</b></p> <p>1. Effective technical capacity for integrated management in place in selected Member States.</p>	<p>1.1 Network of trained staff established in MSs and used.</p> <p>1.2 Collaboration with NGOs and CBOs enhanced.</p> <p>1.3 NRMU asked routinely for assistance by all Member States.</p> <p>1.4 NRMU advice adopted by Member States.</p>	<p>1.1 NRMU records requests for help</p> <p>1.2 NRMU Annual Report</p> <p>1.3 Member States reports on Sustainable Development.</p>	<p>(Goal to Supergoal)</p> <p>1. MSs committed to sustainable environmental management</p> <p>2. MSs have, or are prepared to develop the necessary institutional structures and capacity to effect a collaborative resource management programme.</p>
<p><b>Purpose:</b></p> <p>1. Selected high priority, small scale, natural resources management problems identified and effectively addressed, through a network of small projects in selected Member States.</p>	<p>1.1 A suite of small projects operational</p> <p>1.2 CBO/NGO capacity for environmental management enhanced.</p> <p>1.3 Coastal Management concerns actively addressed at the local level within MSs.</p>	<p>1.1 NRMU Reports</p> <p>1.2 NRMU evaluation and monitoring system</p> <p>1.3 CBO/NGO proposals and project documents</p>	<p>1. Adequate framework for management exists within MSs and within NRMU.</p> <p>2. Small project scheme actively utilized by NGOs and CBOs for addressing coastal resource management concerns.</p>

<b>Outputs</b>			(Purpose to Goal)
1. Small scale coastal resource management initiatives increased, in selected Member States.	1.1 Project proposals actively implemented in a network of projects for natural resource management in selected member states.	1.1 Project reports and monitoring system.	1. Local organisations submit proposals for initiation of small projects.
2. Involvement and capacity of CBOs and NGOs to design and manage projects increased.	2.1 Effective implementation of natural resource management projects by NGOs and CBOs in Member States in collaboration with the public sector.  2.2 Training programme for NGOs and CBOs in place.	2.1 Project reports and proposals.	1.1 Framework for localized management of small projects exist within Member States.  2.1 NGOs and CBOs become actively involved in project management.
3. NRMU's ability to provide tangible benefits throughout member states demonstrated.	3.1 Increased collaboration of NRMU with NGOs and CBOs.  3.2 Increased collaboration of government agencies at the national level with NGOs and CBOs.	3.1 NRMU Annual Report  3.2 Increased support of Member States to OECS NRMU.	3.1 Local NGO and CBO organisations identified to participate in small projects scheme.  3.2 Capacity exists within the NRMU to manage and monitor Small Projects Facility.

## **SECTION VI**

### **ANNEXES**



Our Ref.:

[Date]

[To]

[Position]

[Organisation]

[Address 1]

[Address 2]

[City], [Country]

Dear .....

**RE: PROJECT TITLE AND NUMBER**

The OECS-NRMU is pleased to inform you that your initial application for the ..... (Project Title) has satisfied the main criteria for funding under the Small Projects Facility. We therefore invite you to submit a project proposal in accordance with the attached documentation.

Please do not hesitate to contact us should you require any clarification or further information.

Yours sincerely

.....  
**Vasantha Chase, Ph.D.**  
**Head of Unit**

Our Ref.:

[Date]

[To]

[Position]

[Organisation]

[Address 1]

[Address 2]

[City], [Country]

Dear .....

**RE: PROJECT TITLE AND NUMBER**

We regret to inform you that the OECS-NRMU was unable to give favourable consideration to your application for the ..... (Project Title). This is due to the fact that .....

Please do not hesitate to contact us should you require any clarification or further information. We wish you every success in sourcing alternative funding for this project.

Yours sincerely

.....

**Vasantha Chase, Ph.D.**

**Head of Unit**

**LETTER FOR DISBURSEMENT**

Date

Name of Organisation

Address

Dear Dr. Chase

**RE.: PROJECT TITLE AND NUMBER**

On behalf of the .....(name of organisation), I hereby request payment of the sum of EC\$....., which represents the ..... Disbursement on the above captioned Project. Enclosed, please find a copy of the progress report for the period ..... to ....., 2000, and a financial statement liquidating the previous advance.

Yours sincerely

.....