Proposal Writing Made Easy[1]:

A Manual for

Preparing Effective Funding Proposals

DRAFT – UPDATED AUGUST 23, 2016

This Document:

The manual can be used by any organization or individual that is writing or training how to write funding proposals for socially or environmentally beneficial projects.

This manual is designed with two main objectives:

1. To provide an easy to follow series of steps for preparing effective proposals
2. To empower more advanced proposal writers to train others in how to write effective proposals

A proposal is simply a way to communicate your project design to individuals or organizations that may want to support you financially- it is that simple. Your proposal is your project design presented in a clear and succinct way.

Writing a proposal does not have to be a difficult task. If you have a basic ability in writing and a good project design, you can write a good proposal. This guide will assist you to put the elements of a good proposal together. If you are uncertain about your writing skills, ask a colleague or mentor to help you with the writing.

It requires more than a good proposal to get a project funded. It is essential to have a good project design and apply to the right donor. Expert writing is important, but a proposal will not succeed unless there is both good project design and the donor is a good match.

This manual attempts to be comprehensive and thus provide guidance on most proposal components that are normally required by donors. Not all donors will require all components. For example, some donors may not ask for a timeline, while a timeline will be a requirement for some. As a result, this manual provides guidance on how to prepare a timeline and all other common aspects of a proposal.

The manual is divided into training sessions that align with the basic components of a good proposal. Each session of the manual includes:

- Background on the Purpose and Content of the Section
- Worksheets for Participants to Use to complete the Proposal Section.

[1] This document was originally prepared for the Locally Managed Marine Area (LMMA) Network (**http://lmmanetwork.org)**.. It can be used for any non-profit purposes but may not be sold or used for training where a fee is charged. Any adaptation or use of the materials should acknowledge the Locally Managed Marine Area (LMMA) Network as the original source.

In addition, there is a companion volume entitled: “Trainer Guide for Proposal Writing Made Easy”. This volume includes a suggested workshop agenda and guidance for the trainer on how to run each session of a workshop on proposal writing using this manual.

This manual is based on the idea that the project is designed before a major effort is put into proposal writing. However, it is also possible that some initial proposals may be prepared to seek funding for a project design phase. Unless your proposal is for the project design phase or a very initial stage of your project, you should make sure that you first go through a participatory project design exercise.

Use of the Manual and the Companion Trainers Guide:

The manual can be used in different ways depending on your goals.

1. If you want to prepare a proposal, simply work your way through the sessions
2. If you are teaching others how to write a proposal, you will find it useful to follow the agenda and instructions in the Trainers Guide.
3. If you are training trainers, you should have them study the Trainers Guide and facilitate the workshop sessions with your support.

This manual is designed to be delivered during a three to five-day proposal writing workshop. The workshop will provide several opportunities for participants to practice and critique other proposals.

The workshop itself should be followed by at home/work practice sessions. After a few weeks participants would then come back together for a one to two-day intensive mentoring session to improve their proposals. If it is not possible to come back together, mentoring can happen via email and/or phone.

The best way to become a good proposal writer is to practice. This manual provides a straightforward series of steps to prepare a complete proposal. Anyone can follow these steps, but mastering them requires time and practice.   The best way to practice is to prepare actual proposals that will be submitted to donors.

If you have little proposal writing experience, it is important to start well in advance of the proposal deadline. Its also important to identify a mentor to help you with your proposal.

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SESSION ONE: GOOD PROJECT DESIGN

I. BACKGROUND (Good Project Design)

A good proposal can only be prepared if the project has been designed well. There are several excellent guides to project design including those prepared by the LMMA itself. Below, we summarize key elements of project design that should be taken into consideration.

Likewise, Sessions Five and Six in this manual, take participants through a basic project design process. During these sessions, the participants will identify: the vision for their project, the threats and obstacles to achieving this vision, possible solutions to overcome these threats, project goals, measurable objectives, management activities, outcomes and indicators. These elements will form the basis of proposals for the project. If your project has never carried out this design process, it is important to go back to the stakeholders and carry out the basic project design. If your project has carried out this process, it is important to review the results and update them as appropriate for your proposal. Key Elements of Good Project Design include:

1. Community Involvement:

Community support and involvement is a key to the success of natural resource management projects. This is particularly the case for LMMA projects where the vast majority of project activities must be carried out by the local communities. It can take months or years before a community is ready to develop and implement a LMMA project. Good project design begins with outreach and discussion with community members about their place, their resources, any problems they perceive, and ideas they have for improving the situation. It should also include basic education and awareness raising about the value of establishing a LMMA. This phase may include visits to other communities that have established LMMAs so the community can see a LMMA. During this period, it can take time for trust to be established between the community and possible project partners. A good series of steps to use in this early phase is:

1. General discussions with key community members regarding their place, their resources, any problems they are perceiving, and any ideas they have for improving the situation
2. An organized community meeting to discuss these same topics
3. A community meeting (or series of meetings) to create a Community Vision and Conceptual Model (see Session Five for instructions on how to develop the Vision and Conceptual Model)
4. A decision by the community on whether or not they want to pursue a project
5. Formation of a Working Group or Committee to focus on designing a project
6. Initiating some activities that are likely to yield early success and get the community involved.

2. Stakeholder Analysis

To help ensure that your project will succeed it is important to understand which groups or individuals have interests in the area and will likely affect the project along the way. Such groups or individuals, called *stakeholders,* should be involved in the project because they have a legitimate role to play in the area. Different stakeholders may have different degrees of importance to your project and as a result you may engage them in different ways. Local fisherman from the community or dive operators that take guests to the area may be considered legitimate stakeholders. Illegal fisherman from another province also have a stake in the area but are more likely to be considered a threat rather than legitimate stakeholders. A simple form to help you identify and prioritize your stakeholders is included in the Annex One of this manual. It is also included as a key step in Management Planning Manual that was developed by CCN. The stakeholder analysis should be carried out early in the process. A deliberate decision should be made about when to contact and involve key stakeholders. CCN typically recommends that the community should organize itself before inviting in outside stakeholders. This way, they community will know what they want before they are in negotiations with stakeholders.

3. SMART Objectives and Management Activities

Many projects never develop measurable impact oriented objectives. As a result, they have difficulty accurately monitoring their progress relative to their original ideas. The concept of SMART objectives helps projects to set targets for their work and measure progress. SMART objectives are: Specific, Measurable, Achievement/Impact Oriented, Realistic, and Time-bound. Developing SMART objectives has become standard practice in project design. Development of SMART objectives requires discussion and deliberation and therefore increases the involvement of key individuals in the process.

A table to help guide the process of developing SMART Objectives is included in Session Six of this manual. If a project has already developed SMART Objectives during their design phase, the table can be used to simply help verify and update the objectives. If a project has not developed SMART objectives, these should be developed as part of the proposal writing process. The objectives developed in the proposal can then be incorporated into the overall project design. After SMART Objectives have been developed, it is relatively easy to identify a set of Management Activities that will help the project to achieve the objectives. A table for helping to develop these activities is included within this Guidebook and is also part of the Management Planning Manual developed by CCN.

4. Adaptive Management

Adaptive Management is extremely important to project success. Adaptive Management is based on the careful tracking of progress relative to the original objectives. Adaptive management also changes or adapts the approaches and management activities as needed to improve success. For example, a project has an objective to “Eliminate poaching by January 2007”. To help achieve this objective, the project conducted patrols 10 hours per week. If project was still experiencing at least two instances of poaching per month in early January 2007, this will indicate to the project managers that they need to adapt the project approach in order to achieve their objective. This may mean providing more education and awareness to the poachers to decrease the amount of poaching or carrying out more patrols. It may also require the adjustment of the objectives to be more realistic. Perhaps given the amount of resources available it simply is not possible to fully eliminate poaching in a short timeframe. It may be more realistic to set an objective of reducing poaching by 50% by June of 2007 and eliminating poaching by June of 2008.

All LMMA projects should be adaptively managed. To do this well, its best to have SMART Objectives, an effective monitoring system, regular review of project progress, and a willingness to make changes in project approaches as necessary.

II. WORKSHEET (Good Project Design)

There is no worksheet for this session.

SESSION TWO: THE CHARACTERISTICS AND CONTENTS OF A GOOD PROPOSAL:

I. BACKGROUND (Characteristics and Contents of a Good Proposal)

A good proposal has the following Characteristics.

1) Is based on a good project design.
2) Is designed to sell your project.
3) Is simple and clear
4) Follows the donor guidelines exactly
5) Illustrates how the project will help to fix a problem that the donor wants to fix
6) Has a clear goal that will help to fix the problem
7) Has SMART Objectives
8) Has management activities that will help the project to achieve its objectives
9) Has clear, achievable, and inspiring outcomes
10) Has a timeline for the activities
11) Has a way to monitor progress toward the objectives. This is often called an evaluation plan
12) Has a way to help achieve sustainability for the activities of the project. This is often called a continuation plan
13) Has budget that logically supports the objectives and activities of the project
14) Has matching funds or other support
15) Clearly demonstrates that the applicant has the capacity and skill to carry out the project.

The Contents of a typical proposal are as follows:

1) Cover Letter
2) Executive Summary
3) Project Summary
4) Background
    - Importance of Your Area
    - Problem Statement
    - Your Organization
    - Accomplishments to Date
    - Your Needs
5) Project Approach or Method
    - Goal
    - Objectives
    - Activities
    - Outcomes
6) Time Line
7) Evaluation: Project Tracking Plan
8) Project Sustainability: The Continuation Plan
9) Project Staff and their Capacity
10) Budget that clearly supports the Objectives and Activities
11) Budget Narrative

II. WORKSHEET (Characteristics and Contents of a Good Proposal)

There is no worksheet for this session

SESSION THREE: PROJECT APPROACH/METHODOLOGY - PART ONE: GOAL AND OBJECTIVES

I. BACKGROUND (Goal and Objectives)

The proposal approach or methodology is the core of the proposal and is based entirely on the Project Design. This is where you share your long-term goals, your objectives, and your activities. In this section, you tell the donor exactly how you will help to solve the problem that was described in the Background.

The donor will review your Project Approach very closely to decide if the project is worth funding. They will review your objectives to make sure they are in line with their own objectives. The best proposals have measurable objectives that line up closely with the mission of the funder. They will also carefully review your activities to make sure they are practical, and will actually help you to achieve your objectives. While all parts of the proposal are important, the Project Approach is the essence of your project and therefore is absolutely the most important part of any proposal. The format for the Project Approach may differ from donor to donor, but in general the components of the Project Approach include:

- **Goal**
- **Objectives**
- **Activities**
- **Outcomes**

The components of your Project Approach are based upon the Project Design including the Vision, Conceptual Model, and the Table for Making SMART Objectives, and Work-plan. Some projects will have already completed these planning steps before they are start to write a proposal. However, many will have not. If you have already completed these documents, the proposal writing process will give you an opportunity to review update them. If you have not completed them, the proposal writing process will motivate you to go back to the community and develop these documents. During this training we practice these steps to make sure you feel totally comfortable carrying them out. However, it is best to carry out these steps through a complete Project Design process that involves key community members and stakeholders.

Before you write your Project Approach you should complete the Project Design steps:

1. Prepare Your Community Vision and Conceptual Model Process
   This gives you your GOAL(S)

2. Fill in the Table for Making SMART Objectives and Outcomes
   This gives you SMART Objectives and Outcomes

3. Complete your Work plan
   This gives you Activities that are linked to each Objective

Once you have done this, completing the Project Approach is very easy.

II. WORKSHEETS (Goal and Objectives)

Worksheet One: Developing Your Goal

Your Goal is a more practical translation of the Vision that you have or will develop in the Visioning and Conceptual Modeling Process. A Goal should be broad and relatively easy for the public to understand.

Before you can develop your Goal, you should go through the Visioning and Conceptual Modeling Process. This process is best done with as many community members as possible. If you have already gone through this process, you may want to use the writing of a proposal as an opportunity to update your Vision and Conceptual Model.

The Vision

A vision is a statement of the preferred future at your site. The Conceptual Model helps you to understand threats and problems that are preventing you from achieving your vision, strategies that may enable you to overcome the threats and problems, and resources or opportunities that may help you as you work toward your vision. The Vision and Conceptual Model should be developed through a community meeting.

Your Vision: What does the Perfect situation look like for your LMMA in ten years?

The following questions will help you develop your vision for your area:

1. What does the Perfect situation look like for your LMMA in ten years?
   - What is happening biologically? Be sure to identify your target resources
   - What is happening economically?
   - What is happening socially and culturally?
2. What is being left behind for future generations?

Problem/Solution Modeling Process: Problems/Threats, Solutions, Opportunities

The Problem/Solution modeling process takes this a step further and identifies factors affecting your group's vision. In this process, you will identify the following factors in relation to your site:

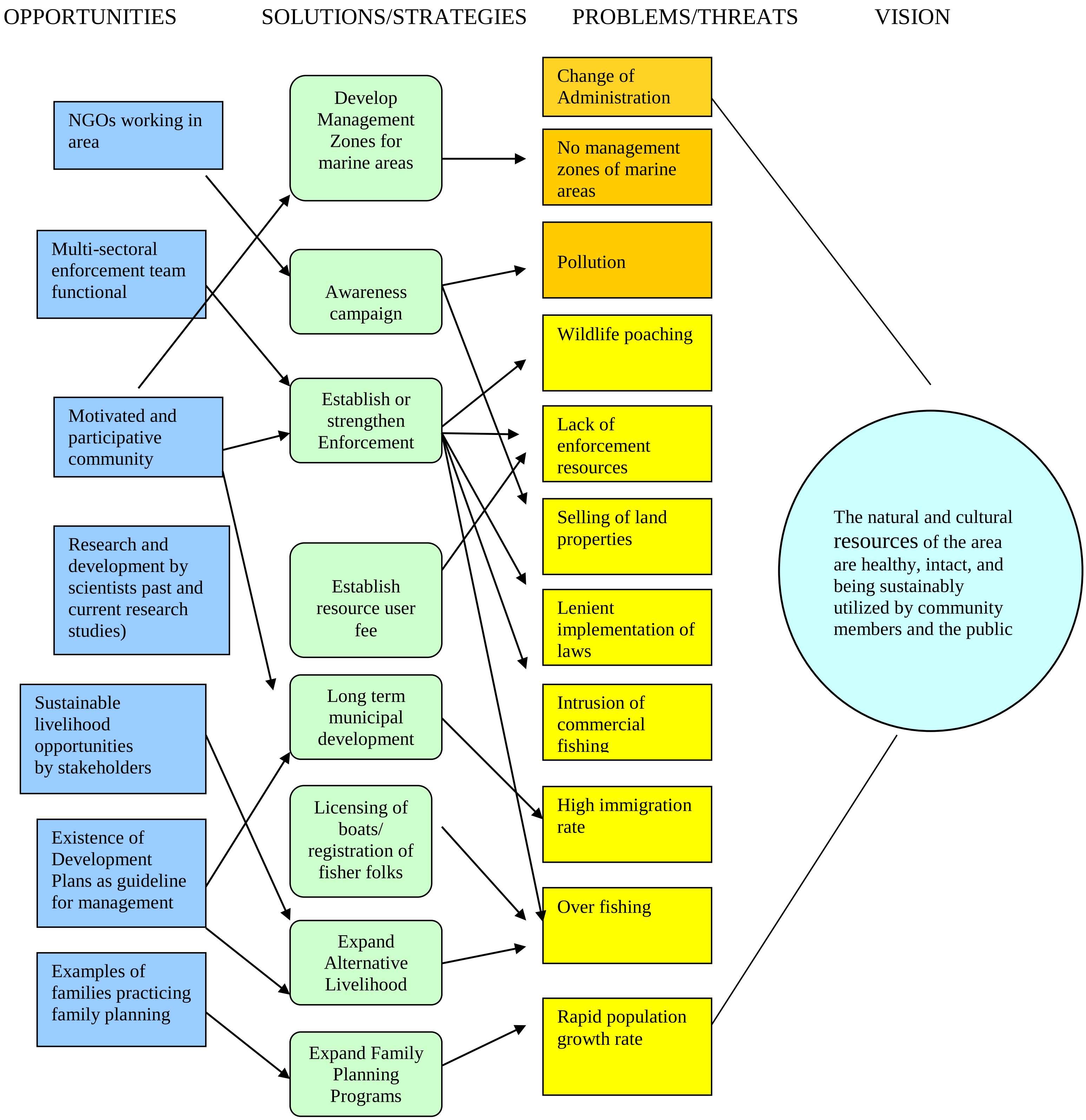
1. Problems (direct and indirect threats and obstacles) that are preventing you from achieving that vision.
2. Solutions to overcome the threats and problems in order to achieve the vision.
3. Opportunities that can help to achieve the vision.

To make a Problem/Solution model you:

1. Write the vision on the far right hand side of a large piece of paper
2. Ask the participants to brainstorm problems/threats that are preventing them from achieving their vision. They can write these on cards and tape them on the paper. The group should work together to prioritize the problems.
3. Next, they should list out solutions that they can use to overcome the threats/problems.
4. Next, identify opportunities that exist in the area that may give then an advantage toward achieving their vision. These could be the presence of a local NGO or a village leader

5. Next show the connection between these various components using string. The opportunities link to the strategies and the solutions to the threats/problems. Try to show all of the possible connections as this will help the community see the potential outcome.

SAMPLE PROBLEM/SOLUTION MODEL:



Developing Your Goal

Once you have completed your Vision and Conceptual Model, you can easily develop the goal for your project and for your proposal. For simple proposals, we recommend developing only one goal. More complex proposals may have more than one goal.

Your goal should be a practical translation of your vision. For example:

Vision

> The natural and cultural resources of the LMMA are healthy, intact, and being sustainably utilized by community members and the public

Goal:

> To conserve and replenish the natural and cultural resources of the xxx area so they can be used sustainably by community members and the public

If you have a very complex project (and proposal) you may want to develop several goals. Its often useful to develop these goals based on key themes or components of the project such as Enforcement, Education, Biology or Bio-diversity. Examples of ineffective and effective goals organized by key themes include:

INEFFECTIVE GOAL	EFFECTIVE GOAL
To set up an enforcement Program	**100% Protection of our community LMMA from infractions of resource regulations**
To save the coral reefs of our traditional waters	**Replenish the abundance and diversity of marine species in the village waters.**

Insert your finished goal statement(s) in the table below.

Goal(s):

Worksheet Two: Developing SMART Objectives

Now that you have developed your Goal(s), you should develop Objectives to help you achieve that goal. We recommend between two and five objectives for most proposals. If you have more than five objectives in your proposal, you might want to consider reorganizing the proposal and having more than one goal, each with two or three objectives.

A good objective is SMART:

- **S – specific**
- **M – measurable**
- **A – Achievement or Impact oriented**
- **R – Realistic**
- **T – time-limited**

Examples

INEFFECTIVE OBJECTIVES	**EFFECTIVE OBJECTIVE**
To reduce violations of fishing rules	**Violations of fishing rules in the managed area are reduced by 50% of current levels by August of 2017 and to zero by August of 2018.**
To train enforcement agents	**Ten community members at each participating village are able to enforce fisheries rules by August 2017.**
Increased fish abundance	**Increased fish abundance within three years in communities where there is good fish habitat**
Established managed areas	**Two new biologically representative managed areas in place by June 2017**
To work with the communities to make rules at the LMMAs	**Two communities complete their rules for their managed areas by December 2017**

A TABLE FOR WRITING SMART OBJECTIVES –

Threat	Outcome the Strategy is trying to achieve?	Where?	When?	Target Level of Change
Over-fishing causing decline in fishery	**- Increase abundance of target fish species**	**- In three villages where there is good fish habitat**	**In the next three years**	**Increase**
Lack of Enforcement	**- Reduction in violations of marine resource regulations**	**- In the waters surrounding our community**	**In the next year**	**50%**

Now write an Objective for the first Threat and Solution and test it against the SMART Criteria.

OBJECTIVE #1: Increased abundance of target species in the next three years in three villages where there is good fish habitat

- **Is it Specific?** — **Local communities, three villages, good fish habitat**
- **Is it Measurable?** — **Increased abundance of target fish species, three years**
- **Is it Achievement or Outcome Oriented?** — **Increase fish abundance**
- **Is it Realistic?** — **Yes, the communities are interested. Fish populations can increase in three years.**
- **Is it Time Limited?** — **Three years**

IT IS A SMART OBJECTIVE!

A TABLE FOR WRITING SMART OBJECTIVES – BLANK

Threat	Strategy #1	Outcome the Strategy is trying to achieve?	Where?	When?

SESSION FOUR: PROJECT APPROACH - PART TWO: ACTIVITIES AND OUTCOMES

I. BACKGROUND: (Activities and Outcomes)

Activities and Outcomes are critical components of the proposal. The activities illustrate that you have a practical understanding of how to go about achieving your objectives and goal. Your activities should also be SMART and thus illustrating to the donor that you are well organized and efficient. See the example activities in Worksheet One below.

Outcomes are the impact that you are trying to achieve by carrying out the various components of the proposal. The outcomes are what will be left when you have completed your work. Outcomes should be exciting and inspiring without being unrealistic. Outcomes should not be confused with Products or Outputs. Products or Outputs are the physical documents or other materials that are produced by the project. Outcomes are the impacts that the project has on the problem or threat.

The Table for Writing Smart Objectives asks for you to write down the Outcome that each Solution is trying to achieve. You should include these outcomes in the worksheet below as well as any other outcomes that your project will have.

II. WORKSHEETS (Project Approach – Activities and Outcomes)

Worksheet One: Preparing a Work plan for your activities and tasks

Goal: Restore the abundance of important near shore marine species in the waters of the XXXX Community								
Objective	**Activities**	**Who will do it**	**By When**	**Tasks**	**By When**	**Indicators**	**Budget**	**Status as of_________**
A 50% reduction in violations of marine resource regulations in the waters surrounding our community by the end of 2017						Number of Violations per unit patrol time		
	Hire and train three new patrol officers	Coordinator	By March 07	Recruit officers Organize training program	By Jan 17 By Feb 17	Number of patrol officers hired Number of patrol officers trained	5,000 per Officers annually	
	Carry out patrols a minimum of 20 hours per week at peak activity times	Patrol Officers	Starting in March 07 and ongoing	Organize patrol schedule Organize patrol supplies Maintain patrol record and report	March 17 March 17 Start in March 17 and ongoing	Schedule organized Supplies purchased and organized Records maintained Number of patrols each week	2000 for supplies and equipment for each officer annually	

Worksheet Two: Identifying your Outcomes:

Outcomes can be identified by reviewing each Objective. If you achieve your Objective what will the impact or outcome be? There may be several outcomes for each Objective. There may also be several Outcomes from your project that are not linked to any one specific Objective.

Objective	Outcome
A 50% reduction in violations of marine resource regulations in the waters surrounding our community by the end of 2007	A 50% Reduction in violations
	A strong foundation for eventual complete elimination of resource violations
	The marine life of the area returning closer to its natural condition.
	Greater community support as they see action taking place to eliminate illegal activities.
	Other Outcomes (these may not be linked to any specific Objective)
	Creation of a model for community-based enforcement that can be used by other communities
	Lessons learned that will help both this and other projects to improve their marine management practice

Worksheet Two: Blank – Identifying your Outcomes:

Objective	Outcome

	Other Outcomes (these may not be linked to any specific Objective)

SESSION FIVE: THE TIMELINE

I. BACKGROUND (The Timeline)

Many donors will ask for a project timeline in a tabular format. There are several different ways to present the timeline depending on the project period and donor requirements. We suggest presenting the in such a way that it indicates the month or quarter when an activity will be completed. This will provide some flexibility as to when to actually carry out a particular activity. Typically, we do not show dates for Objectives or Tasks.

II. WORKSHEET (The Timeline)

OBJECTIVE 1: Develop baseline information on marine resources and their use														
OBJECTIVE 2: Clear invasive species from coastal area														
ACTIVITIES	**Who Responsible**	**2017**												**DETAILS**
		1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	**11**	**12**	
Objective 1: Develop baseline information on marine resources and their use														
1.1 Conduct ecological survey of the area														
1.1.1. Contracting community members	Proj. Lead	x												Develop job description
1.1.2 Training for creel, fish flow and Huli'ia surveys	Proj. Lead	x	x											Organize training, conduct in mid Feb, inquire for workshop site
1.1.3 Conduct surveys	Assistant			x	x	x	x	x	x	x	x	x	x	Monitor, schedule and assist survey staff
1.1.4 Compile and analyze survey information	Proj. Lead			x	x	x	x	x	x	x	x	x	x	Prepare and submit data sheets to UH
1.1.5 Share info collected with entire community	Proj. Lead									x				Plan and conduct community meetings
1.2 Conduct survey on human use of resources														
1.2.1. Seek advice from UH on survey design														
1.2.2. Coordinate with community for survey														
Objective 2: Clear invasive species from coastal area														
2.1. Invasive species survey														
2.1.1. Design invasive species survey with help from UH														
2.1.2. Train staff														
2.1.3. .....etc.....														
2.2. Acquire relevant permission for removal														
2.2.1. Meet with local authorities to discuss the plan														
2.1.2. .....etc.....														

SESSION SIX: EVALUATION APPROACH: THE PROJECT TRACKING PLAN

I. BACKGROUND (Project Tracking Plan)

Project tracking means regularly checking on your activities and objectives to make sure you are:

- making good progress toward your goal
- beginning to have a positive impact on your resources.

If your tracking indicates that you are not making good progress, you may need to change your plan

You should make a project tracking plan and review it as follows. Note the Committee means any body that has been set up to help oversee and direct your project including a project board, a council, or other group.

• **Every Month:**	**With project staff and Core Committee members. Include review of tracking plan and work plan.**
Every Quarter:	**With project staff and all Committee members followed by community meetings and key Stakeholder meetings to report on the project. Include review of tracking plan and work plan.**
• **Once per Year:**	**With project staff, all Committee members, followed by community meetings and meetings will all Stakeholder groups. Include complete review of tracking plan, conceptual model, work plan, and management plan**
• **Every Two - Three Years:**	**External Evaluation**

Indicators:

Indicators are useful as a way to determine the progress of the project. Indicators will also gauge whether or not you are making progress on a specific activity or objective.

There are two main kinds of indicators:

Process or Progress Indicators:

Indicates you are making progress on your activities toward your objectives.

- **We held six meetings,**
- **All Committee members participated,**
- **They decided to declare an LMMA and a tambu area.**

Impact Indicators:

Indicates you are having a positive impact on your resources.

- **Over the last six months the number of violations per month has declined by 30%.**
- **In the last two years, the population of rabbit fish has increased**

Organizing Project Tracking : Project Tracking is a way to check and make sure your project is making good progress.

	Who is the Tracking team?
	What do stakeholders need (want) to know?
	What data needs to be collected?
	How will the data be collected or gathered?
	Who will collect the data?
	When will the data be collected?
	How will the data be analyzed?

	Are both quantitative and qualitative data collected?
	Who needs to receive evaluation information?

II. WORKSHEET - (Project Tracking Plan)

Example Worksheet

PROJECT NAME:______________________________________

	Indicator of Progress	How to Track?	Who will Track?	When do you Track?	Status as Of: __________________
Objective One: To increase the abundance marine resources within our LMMA by the end of 2008 by establishing five effective full Tambu areas	Number of Tambu areas declared by communities Decrease in Cases of Illegal/destructive fishing Increase in fish number	Yes/No Patrols: cases observed per month Biological monitoring Interviewing fishermen	Project Coord. Project monitors (patrol boys) Project Monitors	Monthly Quarterly Annually On regular patrol Annually Every six months	4 Tambu areas created. Explanation
Activity 1.1. Hold monthly community meetings with key members about creating Tabmu areas.	Number of meetings held Number of key community members that attend	Meeting notes Meeting Notes	Project Coordinator Project Coordinator	Monthly Monthly	

Blank Worksheet

	Indicator of Progress	How to Track?	Who will Track?	When do you Track?	Status as Of:
Objective One:					
Activity 1.1					
Activity 1.2					
Activity 1.3					

SESSION SEVEN: PROJECT SUSTAINABILITY: THE CONTINUATION PLAN

I. BACKGROUND (The Continuation Plan)

Most donors want to know how you will continue your project after their funding has finished. A good continuation plan will explain this information. There are three main components that a project needs to be able to continue:

1. Efficient Design
2. Strong Institutions
3. Sustainable Finance and Support

Because most of your projects are new, you probably are not thinking about the continuation plan yet. However, it is good from the very beginning to think about how you can design your project for sustainability to ensure the continuation of the project.

II. WORKSHEET - (The Continuation Plan)

How can we keep the project costs low but still accomplish our objectives?	Who will make sure the project activities continue?	What training and skills building do we need to make the project stronger?	What partnerships can we develop to help keep the project going?	Do we have any ways to generate funding/support on an ongoing basis?

SESSION EIGHT: THE BUDGET AND BUDGET EXPLANATION

I. BACKGROUND (The Budget and Budget Explanation)

The budget is an extremely important part of the proposal. Donors are very interested in understanding the amount that you are requesting and the amount that you have in match. They also want to see the details of how you will spend funds so they can determine whether or not it fits within their guidelines.

It is absolutely critical that the amount of funding you are requesting is in line with the typical amount of funds that the donor provides. Asking for $100,000 from a donor that normally only gives up to $50,000 will not be successful. It is imperative to carefully read the guidelines and be sure that your request reflects the typical amounts granted by the donor.

Also, some donors have specific guidelines when it comes to the categories that they will fund. It is typical that donors may have limitations on how much they will provide for salaries, fringe benefits, overhead and indirect costs. Read the guidelines carefully and make sure you follow them exactly.

If a donor is limited on the amount of funds they will provide for indirect costs, it may be possible to charge some items that are typically indirect costs as direct costs instead.

II. WORKSHEET (The Budget and Budget Narrative)

All figures are in USD

	Project Year 1			
	Line Item	**Grant**	**Match**	**Project**
	Description	**Request**		**Total**
1.	Personnel/ Staff with Fringe Benefits	5000	5000	10000
2.	Travel	1000	1000	2000
3.	Supplies/ Materials	3400	2000	5400
4.	Contracts	3000	3000	6000
5.	Total Direct Costs	12400	11000	23400
6.	Indirect Costs (20%)	2400	2200	4600
7.	Total Costs	14800	13200	28000

Budget Narrative

1. Personnel with Fringe Benefits

Coordinator: A coordinator is needed to help guide the project. Local coordinators usually work for a partner NGO. Coordinators for this type of project are typically paid 9,000 per year with 1,000 in Fringe Benefits such as health insurance. As a result, we request 5,000 for salary and will use partner NGO funding as match valued at 5,000.

Request: 5,000
Match: ....5,000: Provided by Partner NGO
TOTAL 10,000

2. Travel

This project will require two trips to Port Moresby from Kavieng, New Ireland, each at a cost of 1,000 for a total of 2000. This includes 600 for airfare and 400 for food and accommodation for a three day trip.

Request: 1,000
Match: ....1,000: Provided by Partner NGO
TOTAL 2,000

3. Materials and supplies

Petrol for transport and generator for community meetings. Each community meeting will require 40 for petrol for the generator and transport to the community. We plan to have 12 meetings a year in 5 villages for a total of 60 meetings. This totals 2400. This cost will be completely covered by our request.

Awareness materials (posters, brochures, videos, theatre group). The majority of awareness materials will be provided by local NGOs as match valued at 3000. However, because of the large quantity necessary, we will need to funding to pay some of the printing costs. We are budgeting 1000 for this cost.

Request: 3,400
Match: ....2,000 Provided by partner NGO
TOTAL 5,400

4. Contractual

Contractual items include:

1. Consultants for educational outreach training: 2,000
2. Theatre Group 2,000
3. Consultants to provide training in Biological Monitoring . 2,000

Request: 3,000
Match: .... 3,000 Provided by Partner NGO
TOTAL 6,000

5. Total direct costs

Request: 12,400
Match: 11,000
TOTAL 23,400

6. Indirect costs

Total Request………………………..2,400
Total match………………………….2,200
Grand Total………………………….4,600

7. GRAND TOTAL

Total Request………………………..14,800
Total match………………………….13,200
Grand Total………………………….28,000

SESSION NINE: KNOWING YOUR DONOR: WHAT THEY WANT

I. BACKGROUND (Knowing Your Donor)

Its extremely important to make sure that your proposal is a good match for your prospective donor. To be sure of this it is important to first research the donor and understand what their goals are for funding. Your project must have key elements that are of interest to the donor. If your project does not have these elements, you should look for a different donor.

You will usually find information on what the donor wants in:

- Their annual report
- Their website
- Their proposal guidelines
- The types of organizations they have funded in the past

Read all information you can about the funder. Key information you should look for includes:

- Focus areas, themes, issues, and/or problems
- Target populations
- Facts or instructions, such as time frame for project, size of budget, etc.

II. WORKSHEETS (Knowing Your Donor)

Worksheet One: The following information is from Seaecology which funds small projects in Micronesia. Following the material about Seaecology is a Table that can help participants identify key information about Seaecology.

SEACOLOGY

Background

Seacology is a non-profit environmental organization with the sole purpose of preserving the highly endangered biodiversity of islands throughout the world. Indigenous people often faced with the dilemma of choosing between protecting their precious natural resources and economic development. Seacology searches for situations where both the local environment is protected and islanders receive some tangible benefit for doing so. Seacology is based in Berkeley, California and has Field Representatives in countries around the world. Information on Seacology can be found on their website at **www.seacology.org**

Seacology supports *community-driven* initiatives. It is required that the project is developed and run at the community level and all project agreements and financial management are by the community. It is possible for a local NGO to apply for funding to work in partnership with the community, but they must show that the project is working directly with the community and all funds benefit them. No funds are provided for administrative costs or overhead (including salaries). Funding is for one-off projects, generally for a duration of about 6-24 months.

Seacology supports projects that result in the establishment of community-run protected areas. These can vary in size and the amount of time that they are under protection. Seacology requires an agreement to be signed between community leaders and Seacology stating the people involved, location, size of area, and length of time that the area will be protected for. It is common to hold areas under protection for at least 10 years, but the length of time is solely the decision of the participating communities. The protected areas can be in whatever form the community decides is best for them, including community agreements, Conservation Deeds, Managed Areas, or others. In exchange for the establishment of the protected areas, Seacology provides funds to support small-scale community development projects such as for building/repairing schools, water supplies, solar power, resource centres, equipment for farming projects, etc. It does not generally support projects such as eco-tourism and longer-term education programs.

Examples of Projects Funded in Micronesia:

CHUUK, Epinup Village - July 2004
Establish the Epinup Mangrove Forest Reserve and Marine Protected Area in exchange for a community water system

KOSRAE, Lelu Island - July 2004
Establish the Lelu Conservation Area in exchange for the construction of Lelu Marine Park

KOSRAE, Utwe Walung - July 2000
Protect a fragile mangrove ecosystem and create an alternative energy supply for local community center

MARSHALL ISLANDS, Ailuk Atoll - June 2007
Completion of a solar-powered airport terminal and guest lodge in exchange for conserving 215 acres (six acres terrestrial and 209 acres marine) for a minimum of 10 years at the Enije Channel and Enije Island turtle nesting area

PALAU, Babeldaob Island, Melekeok State - January 2007
Construction of a solar-powered, eco-friendly visitor and education center in support of the 1,236-acre Lake Ngardok Nature Reserve in perpetuity

PALAU, Hatohobei State, Helen Reef - July 2005
Construction of a community dispensary in support of the conservation of 64,742 acres of reef, lagoon, atoll and territorial waters

PALAU, Babeldaob Island, Ngardmau State - November 2003
Demarcation, training and educational materials for the Ngermasech Marine and Mangrove Conservation Area

PALAU, Babeldaob Island, Ebiil Channel - July 2001
Equipment and training for local rangers

PALAU, Babeldaob Island, Ngemai Reef - December 1999
Provide demarcation buoys and signage and train local rangers to monitor the Ngemai No-Take Marine Reserve

POHNPEI, Lenger Island - July 2000
Assist in the establishment of the first community-led marine reserve in the Federated States of Micronesia

YAP, Kanif Village, Dalipebinaw - July 2005
Rebuilding a protective sea wall in exchange for the 5.5-acre Kanif Mangrove Reserve

YAP, Dalipebinaw - November 2002
Establish the Dalipebinaw forest reserve and restore the Tamilyog Stone Path

YAP - July 1999
Purchase equipment needed to document and publicize the endangered flora and fauna of this small Micronesian island

What Problems are they trying to Solve?	How do they work on the Problems/	Where do they work?	Who do they fund?	Is your Project a Good Match and Why?

Worksheet Two: The following information is from the Global Greengrants Fund. We provide both a very short summary of the fund as well as much more detail. First use the short summary to answer the questions in the table and review the more detailed information and fill the table out again below. Compare the two tables to see if you have missed something important the first time.

Our grants fund grassroots action in some of the world's most despoiled and impoverished places. Grassroots groups are key to solving intractable problems and halting cycles of poverty, powerlessness and environmental destruction. Our grants offer hope and tap the energy of communities where other sources of support are unavailable. There is no better investment than supporting passionate people with great ideas.

What do they Want? Answer the following Questions to help you decide if this donor is a Match.

What Problems are they trying to Solve	How do they work on the Problems	Where do they work	Who do they fund	Is your Project a Good Match and Why?

Now review the more detailed information below from Global Greengrants Fund, fill out the questions again, and compare your two responses to see if you missed anything important by just using the brief summary about the Fund.

Global Greengrants Fund Fact Sheet

Global Greengrants Fund supports community-based grassroots groups in the developing world working on issues of environmental justice, sustainability and conservation. We believe that grassroots environmental work is a key fulcrum for encouraging the growth of a stronger civil society, more responsive institutions, and a greater diversity of voices in policy decisions. We also think that support for the grassroots can help empower communities, strengthen local economies in a sustainable manner, and promote environmental justice and respect for human rights.

Greengrants was created in 1993 to allow U.S. donors to support the international environmental movement at the local level. The guiding principle of Greengrants is to provide modest grants of $500 to $5,000, at the lowest overhead cost possible, to carefully selected grassroots environmental organizations in developing countries around the globe. In the developing world even small grants of a few hundred dollars can make a huge difference to grassroots groups working for environmental sustainability, environmental justice, and human rights.

Key to the Greengrants approach is our unique method of selecting grantees. We have spent the last 15 years developing a strong network of locally-based volunteer advisors to direct our grantmaking. These advisors are leaders in the environmental movements in their regions and use their unique position to help Greengrants tap into local networks and emerging actors that would be impossible to access otherwise. As a U.S. not-for-profit based in Boulder, Colorado, we do not know who is doing the best work for the environment at the grassroots, what we ***do*** know is who to ask.

Grantmaking Processes

Advisors are organized into either regional Advisory Boards or thematic Advisory Boards. (Greengrants currently has boards in the Andes, Brazil, Central America, China, East Africa, India, Mexico, the Pacific Islands, Russia, Southeast Asia, Southern Africa, the Southern Cone of South America and West Africa). Through their already established networks, the Advisors find and identify groups that could benefit from a Greengrants' grant and as a group evaluates and selects groups to make grants to. We do not take unsolicited proposals at the Boulder office. All proposals must come from our Advisors. The grant recommendation process involves the following steps:

1) Each Advisory Board is given a grant budget for the year. It is up to each Advisory Board to make decisions about which groups will be given grant funds. At annual meeting each year, boards determine their own policy for identifying grantees in the region, accepting unsolicited proposals, and funding repeat grantees.
2) Advisors collect grantee proposals and then hold funding rounds throughout the year to evaluate applicants and make decisions about grant recommendations (the number of

funding rounds in each year is decided by each board separately, throughout our network this varies from between two to five rounds per year).

3) Once the Advisory Board comes up with a list of recommended grantees with grant amounts for a particular round, they send the list of final recommendations to the Greengrants office in Boulder.
4) Once recommendations are received, the Grants Management staff begins to process the grants. This includes; getting necessary forms from the grantee groups, due diligence checking (IRS and anti-terror compliance within U.S. laws, and adherence to any laws of the recipient country), and facilitating the wire transfer.

Our advisors play an important role in the monitoring and evaluation of grantee groups. Part of the value-added benefit of Greengrants grantmaking is the capacity building that results from the relationship between the Advisor and the grantee. Our advisors are primarily mid-level NGO leaders in their countries. They are able to serve as mentors to the small community groups they recommend and they maintain regular contact with grantees which means that they can assist when problems arise and monitor groups progress through the grant period.

Grants made in Micronesia include:

Chuuk Conservation Society
Chuuk Conservation Society protects local natural resources by developing applicable management models, developing legislation, and introducing environmental education programs. This grant provides general support for the organization, particularly its outreach efforts.

Year: 2007
ID: 52-085
Amount: $1,500
Pacific Islands Advisory Board

Pohnpei Farmers Association
To assist this group in reaching its goals of supporting local farmers and promoting sustainable agricultural practices. Sustainable agriculture benefits food security, community health, and income generation.

Year: 2007
ID: 52-087
Amount: $5,000
Pacific Islands Advisory Board

Xavier High School
To support several pilot environmental projects based on sustainable principles, including a forest reserve and an organic farm. By involving youth in these initiatives, the school promotes long-term solutions to the land and ocean degradation and pollution in the area.

Year: 2007
ID: 52-086
Amount: $5,000
Pacific Islands Advisory Board

What do they Want? Answer the following Questions to help you decide if this donor is a Match.

What Problems are they trying to Solve?	How do they work on the Problems?	Where do they work?	Who do they fund?	Is your Project a Good Match and Why?

SESSION TEN: A GOOD BACKGROUND SECTION

I. BACKGROUND (A Good Background Section)

The background is your way to tell the donor everything about your place:

- Why it is special
- The threats
- Your organization
- What you have accomplished
- What you still need to do

The background section may have different names depending on the donor but in general it will include the information below. This information may also appear in a different order. It can be very detailed or relatively brief depending on the requirements of the donor.

1. **Site Description (Make Them Care about your place)**
   - Location
   - Biological Features
   - Cultural/Social Features
   - Anything special that makes this place a key for funding

2. **Problem (What problems are you trying to solve?)**
   - Direct Threats
   - Indirect Threats
   - Impacts on your community

3. **Organization Description: (Who Are You?)**
   - What is your group's name?
   - What kind of group are you?
   - What is your group's Mission?
   - When did you start your work?
   - Who are your members?
   - What are your strengths
   - What are your areas for improvement

4. Your Progress So Far:
- What organizing have you done?
- What relationships have you built?
- What activities have you done?

5. Your Needs
- What still needs to be done to overcome the problem?
- What is this project doing to overcome the problem?
- What are you requesting? How much money? Over what time?

II. WORKSHEETS (A Good Background Section)

Example Worksheet:

1. **Site Description (Make Them Care about your place).** In your small groups, please fill answer the questions below. Later the answers can be translated into a narrative format to write a full Background Section.

Where is your place?	What is your place like?	What are its biological features	What are its cultural and social features?	What is special about your place?	Anything else?
Saba Village - Papua	**Coastal community**	**Extensive Coral Reef** **Abundant Fish** **Turtle Nesting** **High biodiversity**	**2000 residents** **All fishers and farmers** **Little cash income**	**Community worried about fish decline** **Community is motivated to do something**	

2. **Problem (What problems are you trying to solve?)**

What are the direct threats to your place?	What the indirect threats to your place?	What are the impacts to your community?	Anything else?
Over-fishing **Destructive fishing - bombing, cyanide**	**Poverty** **Migration from other areas** **Live Reef Fish collection** **Lack of enforcement** **Lack of awareness of local people** **Threats of violence from outside fishers**	**Difficulty finding enough fish for needs** **Degradation of traditional sites**	

3. Organization Description: Who Are You?

Name	What kind of group are you?	When did you start your organization?	What is your group's Mission?	Who are your members?	What are your Strengths?	What are your areas for improve ment?
Saba Village Develop ment Associati on.	**A local community association**	**2000**	**To improve the quality of life for the residents of Saba village. This includes health income environment education**	**Eight very active Board Members from the community Two part time coordinators**	**Managed three grants for $4000 each**	

4. Your Progress So Far:

What organizing have you done?	What relationships have you built?	What activities have you done?	Anything else?
SVDA is organized and the community supports us to help them with management	**SVDA works with the Church on community organizing We have reached out to the local Government but no reply yet**	**We have set up one tambu area which has been very successful We hold marine awareness events once every two months**	

5. Your Needs

What still needs to be done to overcome the problem?	What this project/proposal doing to overcome the problem?	What are you requesting How much money? Over what time?
Strengthen the existing tambu area and set up more areas. Also twelve communities have asked for assistance to set up tambu in their areas nearby	**Through this proposal we will • Strengthen the existing Tambu area • Set up two new tambu areas i • Train 6 of the 12 adjacent communities**	**$ 5000 Over two years**

Blank Worksheet:

1. Site Description (Make Them Care about your place). In your small groups, please fill answer the questions below. Later the answers can be translated into a narrative format to write a full Background Section. There is an example, below to help guide the process of translating the answers below into a narrative.

Where is your place?	What is your place like?	What are its biological features	What are its cultural and social features?	What is special about your place?	Anything else?

2. Problem (What problems are you trying to solve?)

What are the direct threats to your place?	What the indirect threats to your place?	What are the impacts to your community?	Anything else?

3. Organization Description: Who Are You?

Name	What kind of group are you?	When did you start your organizatio n	What is your group's Mission	Who are your members?	What are your strengths?	What are your areas for improve ment?

4. Your Progress So Far:

What organizing have you done?	What relationships have you built?	What activities have you done?	Anything else?

5. Your Needs

What still needs to be done to overcome the problem?	What this project/proposal doing to overcome the problem?	What are you requesting How much money? Over what time?

SESSION ELEVEN: WRITING UP THE PROJECT APPROACH

I. BACKGROUND (Writing Up the Project Approach)

The Project Approach may be detailed or brief depending on the requirements of the individual donor. The Project Approach is the core of your proposal. It contains the most important information about your project including your goal, your objectives, your activities, and your outcomes.

The Project Approach section should be written in such a way as to inspire the donor to realize that something can be done about the problems that are being experienced in your area. The Project Approach should show the donor that your project has a logical and exciting method that can be used to overcome these problems. The donor needs to finish reading the Project Approach and conclude that your project is well-planed, logical, realistic, and will make sufficient progress toward solving the problem. The donor also needs to know that your organization has the capacity and skill to carry out the Project Approach that you are proposing. As a result, we suggest you provide detailed information about the Staff that will carry out the project. This is covered in Session Twelve below.

II. WORKSHEET (Writing Up the Project Approach)

List your Goal, Objectives, and Activities and provide a brief description of each.

Goal:

1. Objective One:

Activity 1.1:

Activity 1.2:

Activity 1.3:

2. Objective Two:

Activity 2.1:

Activity 2.2:

Activity 2.3:

Outcomes:

1.
2.
3.
4.
5.

SESSION TWELVE: STAFF AND CONTRACTOR DESCRIPTIONS:

I. BACKGROUND (Staff and Contractor Descriptions)

Donors want to ensure that the organization submitting a proposal has sufficient capacity and expertise to carry out the project they are proposing. They want to be confident that the individual staff or contractors assigned to the project will be able to carry out the activities that are proposed. As a result, they typically would like a description of the qualifications and experience of the staff and contractors that will work on the project. They are also interested in how much time each staff member or contractor will devote to the project and what activities they will carry out. Donors are also often interested in the cost of each staff member or contractor but we typically include this information in the budget narrative.

II. WORKSHEETS (Staff and Contractor Descriptions)

Staff (and Contractor) Description:

Title at your Organization	Education	Years and Description of Relevant Work Experience	Role with this Project	Other

Staff (Contractor) Allocations:

Name of Employee	Title	Activities they will be Responsible for	Percentage Time they will spend	Other

SESSION THIRTEEN: THE EXECUTIVE SUMMARY

I. BACKGROUND (The Executive Summary)

An executive summary is typically only required for lengthy proposals. Shorter proposals may ask for only a one paragraph summary.

The Executive Summary is extremely important as it may be the only document that is read by people who deciding about funding your proposal. It is very common that Program Officers at a granting agency will read your entire proposal while Board Members who decide on the funding may only read the Executive Summary.

We recommend that the Executive Summary be prepared after the entire proposal is complete. It is essential that the proposal writers save enough time for its preparation. It is not uncommon that when writers are under a deadline they may not save enough time to write a good Executive Summary.   We can not stress enough that you must give yourself time to write a good Executive Summary. Do not write the summary a few hours before the deadline.

II. WORKSHEET (The Executive Summary)

	Topic	Provide a Sentence or Two Under each Topic
	1. Project title	
	2. Organization information (name, location, status – e.g. non-profit, NGO, etc.)	
	4. Mission of Your Organization (not project)	
	5. Problem statement	

	6. Goal and **Main Objectives of the Project**	
	7. Expected Outcomes of the Project	
	8. Your financial contribution to the project (this includes match from other donors and in-kind contributions)	
	9. Funding request of this donor	

Example Executive Summary: Proposal from CCN to the Office of Hawaii Affairs (OHA).

The Community Conservation Network (CCN) is a Hawaii-based non-profit organization dedicated to assisting local communities to achieve their natural and cultural resource management goals. Over its seven year existence, CCN has assisted several communities in the Pacific to secure the sustainability of their natural and cultural resources.

This document proposes the continuation of the activities initiated in the successful OHA funded project: “Managing Better Together: Enhancing the Management of Critical Hawaiian Marine Natural and Cultural Resources”. OHA provided one year of funding for this project in 2006. This second year of funding will strengthen and deepen the work that was initiated in the first year. Recognizing the critical importance of sustainability, this second year of OHA funding will focus a great deal of attention on developing and pursuing sustainability plans.

Marine resources have always played a pivotal role in the Hawaiian culture, economy, society, and way of life. Historically, Hawaiians practiced sustainable management of their marine resources, which in turn provided abundant food, spiritual and cultural inspiration, and recreational opportunities. Since western contact, changes in management regimes have largely removed local communities from playing an “official” role in resource management. These management changes in combination with threats including over-fishing, coastal development, habitat destruction, pollution, and alien species have caused a severe decline in marine resources. Today, many Hawaiian communities are extremely concerned about the loss of these resources and equate this decline with loss of their culture. In response, several communities are working in grass roots fashion to enhance the management of marine resources. This project provides them with a systematic approach to greatly enhance the management of the marine resources.

The objectives of this project are based on three of the top marine management priorities of over 16 Hawaiian coastal communities as articulated in two workshop sponsored by CCN:

- Directly supporting communities to enhance marine management in their areas both through community-based Makai Watch programs and through the creation of Community-based Marine Management Areas (CMMAs).
- Enhancing youth participation in caring for the marine environment education programs.
- Strengthening and deepening the learning network that has been established between Hawaiian coastal communities to improve their skills in marine resource management.

Communities that will receive direct technical assistance include: Hookena, Honaunau, Haena, and Pupukea. Communities that will participate in the learning network include: Miloli’i, Ho‘okena, Honaunau on Big Island; Waihehe, Kihei, and Hana on Maui, Ewa Beach, Waianae, and Pupukea on Oahu; and Haena, Waipa, and Hanalei on Kauai.

The success of this project is based on the level of community involvement, including number of people participating, number of communities implementing various components of the project, and number of newly trained community members. Long-term success will be measured by improvement in populations of marine species. The request of OHA totals $100,000 and will be matched with $100,000 in funds from the Harold K.L. Castle Foundation.

SESSION FOURTEEN: THE COVER LETTER

I. BACKGROUND (The Cover Letter)

The cover letter is the correspondence used to transmit the proposal to the donor. Depending on the donor this may be a simple email, a formal letter, or something in between. The cover letter should include the following information:

1. The name of the Proposal
2. The name of the submitting organization
3. The amount of funding requested
4. A brief summary of the Objectives of the Proposal
5. A brief summary of any of the inspiring Outcomes that the proposal hopes to accomplish.
6. Thanks to the donor for consideration of the proposal.

II. WORKSHEET (The Cover Letter)

Be sure to include the following information in the cover letter and then write the letter out in narrative form like the example below.

Components of the Cover Letter	
The name of the proposal	
The name of the submitting organization	
The amount of funding requested	
A brief summary of the goal and objectives of the project	
A brief summary of any inspiring outcomes that the proposal hopes to accomplish	
Thanks to the donor for considering the proposal	

Sample Cover Letter:

Nancy King
Office of Hawaiian Affairs Grants Program
711 Kapiolani Boulevard, Suite 500
Honolulu, Hawai`i 96813

April 10, 2016

Aloha Ms King:

The Community Conservation Network is very pleased to submit the enclosed proposal entitled **"Managing Better Together: Enhancing the Management of Critical Hawaiian Marine Natural and Cultural Resources."** Over the past three years, CCN has assisted several Native Hawaiian communities as they work to improve the management of their priority marine and cultural resources. CCN works with communities at their invitation and supports them to achieve their goals in marine resource management. With funding from the Office of Hawaiian Affairs we will be able to continue to assist several Native Hawaiian communities to pursue their priorities in terms of marine resource management.

We greatly appreciate OHA's consideration of the enclosed proposal. Please do not hesitate to contact me if you have any questions or comments. Email is the best way to contact me (scott@conservationpractice.org).

Mahalo,

Scott Atkinson
Director of Hawaii Program

ANNEX ONE: INTRODUCTION TO INVOLVING STAKEHOLDERS

I. BACKGROUND

This section is excerpted from the Management Planning Manual developed by CCN and partners, "**A Management Planning Guide for Marine Resource Managers"[2].** This manual provides detailed instruction on how to develop a Management Plan for a project site such as a LMMA. However, the same basic approaches can be used to design LMMA projects even if a full management plan will not be developed. As a result, the Stakeholder Involvement section of the Management Planning Guide is applicable to project design that should occur for any LMMA project.

Stakeholder involvement is an absolutely critical aspect of project development. The approach to stakeholder involvement will vary greatly depending on the site, the number of stakeholders, their involvement or "stake" in the area, the ownership and management authority of the area, the complexity of the situation, and many other factors. At some sites, you must engage a broad range of stakeholders in the entire design and planning process or they may undermine your decisions. At other sites, the authority of the community or the agency is so strong that stakeholders need only be informed about the decisions that are being made for the area.

It is very important to talk with a wide variety of stakeholders to get a sense of their concerns and ideas as you work on project design. Once you have that stakeholder input, it is generally more effective for the project design to be carried out by a team of designated individuals. If stakeholders have been afforded an opportunity to provide input, they are typically quite happy for a planning team to develop the project. After the draft project design is complete, however, it is very important to loop back in with all the stakeholders so they can review the design. A wide range of options for stakeholder engagement exists, including the following:

1. Detailed involvement of all major stakeholder groups in the design process. This approach has been used in some managed areas. However, it can often degrade into a very unproductive process due to the difficulty of developing a project with a large group.
2. Input sought from stakeholders through focus groups with a smaller planning team developing the project. You may or may not have stakeholder representatives on the planning team

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[2] This manual was prepared by Scott Atkinson of the Community Conservation Network. It includes text and materials from:

"Parks, J., D.Wusinich-Mendez, K.Thurlow, E.Carey, and S.Moss. 2006. *Materials Used for the Bahamas National Park System Management Planning Training.* Technical report produced by the National Ocean Service of the United States National Oceanic and Atmospheric Administration, The Nature Conservancy Bahamas, and The Bahamas National Trust. Nassau, Bahamas. 49 pages."

3. The community or agency has a high degree of authority, so they choose not to consult outside stakeholder groups. In this case, the planning team may choose only to inform various groups about the decisions in the design.

Typically, the second approach is the most likely to lead to success. However, the devil is in the details. You have to think very carefully about how many focus group meetings you should have, how often you should inform stakeholders about your progress, and how many opportunities outsiders should have to provide feedback on the project design. In most LMMAs, the more effort you spend involving and reacting to stakeholder concerns, the better your chance of getting true buy-in and support for the project.

II. TRAINER GUIDANCE

The stakeholder discussion is best held with the entire planning team present. The discussion should happen one of the very first steps in the project design process.

You can either keep the group in plenary and the facilitator can take the group through the worksheet or you can divide into small groups and each group can go through the worksheets. If you divide into small groups, each group should present their results and the facilitator can integrate them on one master sheet. We typically recommend small groups if your overall workshop includes 15 people or more.

III. WORKSHEETS: (Involving Stakeholders)

(1) Fill out the following worksheet to clarify the stakeholders for your LMMA and how you will involve them in the Project Design process.

What are the main groups of people involved in the area?	Describe their interest in the area	Describe the validity of their interest or "stake"?	How important is this group to the planning process?	How would you like to involve them in the Project Design process?
Local community members	Clan ownership of many of the resources. Recognized resource use rights	Highly valid. They have had a role in the area for generations	Very important	Community visioning process, regular community meetings, quarterly feedback opportunities during the development of the plan
Fishermen from other villages on the island	Historically they would fish in the area only by asking permission. Now they often fish without asking permission	Low. Historically we would not deny them access as long as the stock was healthy. Now they come in without asking	Medium. They may choose not to follow the rules unless they are involved. But they have little valid stake in the area.	Ask them for their input on the actions and the rules. Inform them of our decisions, pointing out how we have involved their concerns
Illegal fishermen from the Philippines	Sharking fining, tuna fishing, catching turtles, etc.	None. They are fishing completely illegally in the area	Not important	Inform them of the rules once established. . Enforce when necessary
Commercial SCUBA operators	Taking tourists into the MMA to dive	Some of them have permits to operate. Others have no legitimate stake but have invested funds	Important as they have a strong lobby with the government	
Enforcement agency	They are mandated to enforce the rules of the area	High. Once rules are law, they must enforce them.	Very important. We need to know what is practical in terms of enforcement	Ask for their input early on and invite them to key meetings.

INVOLVING STAKEHOLDERS

What are the main groups of people involved in the area?	Describe their interest in the area	Describe the validity of their interest or "stake"?	How important is this group to the planning process?	How would you like to involve them in the Project Design process?