



Canadian International
Development Agency

Agence canadienne de
développement international

BRAZIL-CANADA EQUITY PROMOTION PROGRAM

KEEP Long-Term Initiatives

Booklet 3

Canada

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The KEEP program can be accessed by Brazilian and Canadian organizations in different mechanisms, called “windows.” The same objectives apply to all windows. However, each window functions in a different way. This booklet, focusing on long-term exchanges, should be read in conjunction with Booklet 1 (General Information).

What is the KEEP long-term window?

The KEEP Long-Term Initiatives window will support projects that are two-to-four years long, between Brazilian and Canadian organizations, in the areas of governance, health or labour/the world of work. These exchanges will help increase the capacity of Brazilian organizations to promote greater equity in the access and quality of services delivered to their user communities/clientele, and in any policy dialogue.

Which organizations are eligible to apply for funding?

The KEEP program is responsive to Brazilian developmental needs. It is, therefore, expected that Brazilian and Canadian organizations will lead the project planning, implementation, and monitoring as full partners.

Eligible organizations as lead partners on the Canadian side include public/government institutions, non-governmental (not-for-profit) organizations or associations, academic institutions, or private sector companies. The participation of for-profit private companies must not involve showcasing Canadian equipment and goods for eventual purchase or subsequent contracts.

On the Brazilian side, Brazilian governmental and public institutions at the federal, state or municipal level, not-for-profit organizations or associations, and academic institutions are eligible as lead partners.

Requests under this window must be submitted by the Canadian proponent to CIDA headquarters and by the Brazilian proponent to ABC (see addresses at the end of this booklet).

Is there any regional concentration?

Yes. CIDA expects to concentrate its programming in the regions of Brazil that experience higher levels of poverty and inequity—the northeast and the peripheries of large urban areas. Proposals that have a national impact will also be considered.

A few words of caution for potential applicants

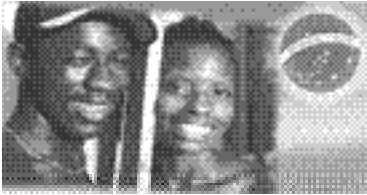
Even though a project may be eligible for funding, applicants should be aware that:

- with limited resources, the program is unlikely to approve two long-term proposals involving the same Canadian partner at the same time.
- the program may be reluctant to approve two projects of a similar nature, even though the partners involved may be different; and
- because one of the KEEP program’s objectives is to multiply linkages between Canada and Brazil, it is expected that proposals will involve the participation of a variety of Canadian and Brazilian organizations.

How much can CIDA contribute to projects under the KEEP Long-Term Initiative?

CIDA will provide between \$0.5 and \$2.5 million to the KEEP Long-Term Initiatives.

As a general rule, CIDA’s contribution will be used to offset the cost of the Canadian partners’ participation in a proposed project. This can include the cost of Canadian fees and travel to Brazil related to training or consultancy activities, as well as the cost of training



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Brazilian participants in Canada (travel, accommodation costs, meal allowances, etc., as per Government of Canada regulations). It can also include translation and interpretation costs as well as the publication of teaching material. CIDA's contribution cannot be used to provide financial support for Brazilian partner organizations, nor to cover Brazilian salary costs. However, in exceptional cases, CIDA will consider off-setting some local costs should the Brazilian proponent justify the need.

What is the process for submitting a proposal?

Canadian and Brazilian proponent organizations may opt to submit a preliminary proposal to CIDA and ABC for comments, or they can directly submit a detailed proposal to the competitive evaluation process. The complete submission process is outlined in Annex C of Booklet 1.

What are the deadlines for submitting proposals?

In order to maintain the competitive status of the KEEP program, CIDA has established deadlines for submitting detailed project proposals: in May and November of each year (please refer to the Annex B in Booklet 1).

We encourage proponents to contact either CIDA's Brazil Desk in Canada or CIDA's Head of Aid in the Canadian Embassy in Brasilia to discuss their initial ideas for submission to the KEEP program. As set out in our submission guidelines (Annex B of Booklet 1), CIDA and ABC can be called on to review preliminary proposals throughout the year. Feedback on those submissions will be general and does not constitute a selection process. Only detailed proposals submitted will be scored. This will ensure that projects are analyzed and reviewed on a competitive basis.

What are the key proposal selection criteria?

CIDA and ABC will review preliminary proposals and provide feedback concerning their fit with the mandatory grid found in Annex A.

CIDA and ABC will score detailed proposals against the mandatory grid in Annex A and a detailed grid using the following weighting:

Concept*	40%
Capacity building	20%
Management	20%
Competence	20%

**Concept* refers to the proposed project's fit with KEEP program definitions and its sectors of focus and concentration, as well as the soundness of the project idea and its implementation strategy.

What kinds of projects will not be considered for funding?

Proposals with certain characteristics will not be considered for support. This includes those that:

- do not contribute to increased equity in Brazil;
- do not focus on at least one of CIDA's three priorities for Brazil (governance, health, or labour/world of work);
- exchange knowledge (models and approaches) readily available in Brazil;
- do not demonstrate a clear partnership between Brazilian and Canadian organizations;
- have a private, for-profit company as the lead Brazilian partner;
- subsidize Canadian goods and service exports to Brazil or cover market penetration or development costs;
- focus only on transfer of funds directly to Brazilian organizations;
- primarily undertake studies or research;
- focus on the transfer of goods or equipment; or

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- request funding for more than four years.

What is a preliminary proposal?

A preliminary proposal is a short document (between 10 and 20 pages) that outlines the basic concepts of a project idea. Canadian and Brazilian partner organizations interested in Long-Term Initiatives under the KEEP program are encouraged to submit a preliminary proposal in English or French and Portuguese to CIDA and ABC for consideration early in the project planning process. A preliminary proposal should be prepared before proponents have invested considerable resources in project planning. This:

- encourages the partner organizations to focus attention on key issues, such as defining the goal and anticipated results of a potential project; and
- provides CIDA and ABC with sufficient information to assess whether the potential project is consistent with the program's criteria.

What items should be addressed in a preliminary proposal for comment by CIDA and ABC?

In general terms, the preliminary proposal should:

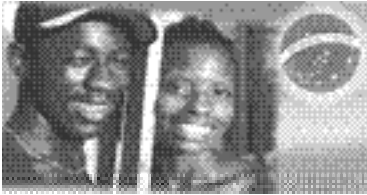
- clearly define the developmental problem to be addressed;
- briefly describe the Brazilian context in which the project will be implemented, including the specific Brazilian initiative or program to which the project will contribute;
- describe how the project will help increase equity in Brazil;
- define the Canadian knowledge (model or approach) under consideration and describe how it will help address the developmental problem, including how it will help increase the capacity of the Brazilian organization to promote equity within its own organization, in the services delivered to its clients, and in policy dialogues;
- outline the goal and purpose of the project;
- clearly state the developmental results anticipated;
- briefly describe the foreseen impacts of the project on the environment;
- briefly describe how the project will contribute to gender and ethnic equality;
- briefly describe the Canadian and Brazilian partner organizations' mandate, roles and responsibilities, and structure; and
- indicate the anticipated duration and cost of the project, including the estimated financial contributions expected from CIDA, the partner organizations, and other sources.

What items should be addressed in a detailed project proposal?

These guidelines are designed to help prepare detailed project proposals to the Long-term Initiatives window only. Canadian proponents must submit their detailed proposals in English or French to CIDA and in Portuguese to ABC (see the addresses at the end of this booklet).

1. Executive Summary

- Provide a short summary of the project's goal, purpose and principal expected results, and link the initiative to the overall goal of the KEEP program and CIDA's strategy of promoting greater equity in Brazil and reinforcing bilateral relations between Canada and Brazil. For more information on CIDA's Brazil program, [www.acdi-cida.gc.ca/CIDAWEB/webcountry.nsf/americas_e.html].
- List the Canadian and Brazilian partner organizations involved.
- State the duration of the project.
- State the total funding requested from CIDA, together with the financial contributions expected from partner organizations and other sources.



2. Background

- Provide relevant social, political, economic, and/or other information to describe the Brazilian context and the development challenge being addressed (i.e. what is the problem or issue to be addressed, and why is it important in Brazil?).
- Describe the link between the proposed project and the development challenge defined above. How does the project respond to Brazilian developmental needs and priorities?
- Describe how the proposed project supports other government and/or donor programs.
- Describe how the partners came to work together.

3. Equity

- Describe how the proposed project contributes to greater equity in Brazil (i.e. ownership of assets or access to services and resources, awareness among Brazilians regarding their rights and responsibilities as citizens, empowerment of Brazilian citizens, participation and influence of citizens in decision-making processes, and satisfaction of citizens with Brazilian organizations that help them improve their lives).
- Describe how the project incorporates equity principles. Equity principles include power-sharing and participation, fairness and justice, legitimacy, transparency and accountability, equitable distribution of resources, equal access, leadership, ownership rights, and gender and ethnic equality.

4. Knowledge Sharing

- Define the Canadian knowledge (model or approach) that the proponents intend to exchange.
- Describe which organizations in Canada use this knowledge, where it is applied, and what has made it successful.
- Assess the relevance of this knowledge to the Brazilian developmental context.

5. Capacity Development

Capacity development is a process that brings about incremental change in an organization, and involves experimentation, learning, and continual adjustment. Capacity enhancement may lead to different degrees of capacity.

- Describe the broader Brazilian institutional setting in which the project will be developed, such as the current organizational performance, the interconnections with other organizations, and the impact of the institutional environment on performance.
- Explain what capacity enhancement is necessary to achieve the objectives of equity promotion and the project-specific objectives in this regard.
- Explain whose capacity will be enhanced through the project and who will benefit from this increased capacity.
- Explain which abilities, skills, attitudes, values, knowledge, conditions, or behaviours the project intends to change and how.
- Explain the project's approach and strategy to ensure that collective learning takes place and supports organizational change.
- Define the indicators of capacity development in your project.

More tips on capacity development can be found on CIDA's website www.acdi-cida.gc.ca/cd.

6. Project Description

The following elements should be fully described:

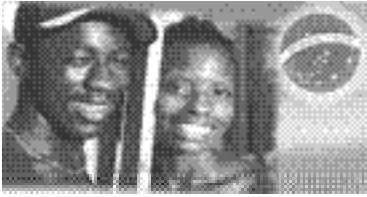
- **Goal.** The goal statement should be a single statement outlining the ultimate objective of the project, or the desired end to which the project will contribute. It should describe how the project will contribute to the achievement of greater equity – CIDA's overall program objective in Brazil.

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- **Purpose.** The purpose is a “statement of intent.” It is a medium-term objective, which is project-specific and achievable by the end of the project. It explains what will be done in development terms in support of the project goal and identifies intended beneficiaries.
- **Activities.** Activities are the actual events of a project, such as training, technical exchanges, seminars, or other means of knowledge sharing, that will lead to changes (i.e. short-term results). They are designed and organized as a means to achieve the project purpose.
- **Resources.** Resources can be financial, human or physical, and are necessary for carrying out project activities and achieving their intended purpose and goal. These should be divided into resources requested from CIDA and those provided by other institutions.
- **Expected Results.** The expected results are describable and measurable changes that the project will bring about. At the project goal level, long-term results are expected. At the purpose level, medium-term results are expected. At the activities/resource level, the results expected are short-term. The partner organizations are accountable for medium- and short-term results.
 - *Long-term results (impacts)* are the broad, long-term effects or consequences of the project, and are linked to the project’s goal. Long-term results usually reach society as a whole, and are the logical consequence of achieving a series of medium- and short-term results across several CIDA projects. Long-term results are measurable five-to-ten years after project completion.
 - *Medium-term results (outcomes)* are the medium-term effects of the project (i.e. what partners hope and commit to accomplish within the lifespan of the project). In the context of the KEEP program, medium-term results will normally consist of expected developmental results related to sharing knowledge. The focus is normally on organizations and their “clients.” Outcomes should be achievable by the end of the project and with the available project resources. They are the logical consequences of achieving a series of short-term results within the duration of a project.
- *Short-term results (outputs)* are the immediate, visible, concrete, and tangible consequences of completed project activities. In the context of the KEEP program, outputs will normally be related to sharing knowledge at the level of individuals within the partner organizations. Short-term results can be modified regularly to reflect changes in the project's evolution.
- **Baseline data.** Baseline data is an established data set from which to measure change (results). Present the baseline data that you may already have gathered, and identify data that will need to be collected at the beginning of the project.
- **Risks and assumptions.** Review risks, which may compromise achieving the project’s expected results. These may include risks such as political, economic, institutional, cultural (including linguistic), or other constraints and conditions. A strategy for monitoring and managing risks should also be provided.
- **Sustainability.** Explain how the project results and the relations between Canadian and Brazilian partners will be sustained beyond the period of CIDA funding.
- **Benefits to Canada.** What positive effects will the project have in Canada, whether they are political, scientific, institutional, commercial, or other?



7. Gender Equality

Gender equality means that women and men and boys and girls have equal conditions for realizing their full human rights and potential to contribute to national, political, economic, social and cultural development, and benefit equally from the results. With this in mind, the detailed proposal should describe:

- the needs, priorities, and interests of women and men, girls and boys in the region of the project and potential barriers to their participation in the project;
- the potentially different effect of the project on women, men, girls and boys, as well as the opportunities to reduce gender inequalities through the project's implementation;
- the capacity of partner government/civil society organizations to support gender equality both within their own decision making structures and through their programming;
- measures to increase women's participation in the project, particularly in decision making;
- the specific results related to improving gender equality and gender-sensitive indicators for monitoring project performance; and
- the constraints, assumptions, and risks related to gender equality issues.

More information on gender can be found at www.acdi-cida.gc.ca/equality

8. Ethnic Equality

Ethnic equality refers to including all Brazilians, regardless of their ethnic origins, in national, political, economic, social, and cultural development processes. With this in mind:

- describe the current practices of the partner organizations in relation to ethnic equality, both in terms

of their internal practices as well as their policies and programs;

- describe the partner organizations' functions and identify which ones are more relevant to disadvantaged ethnic groups;
- give an analysis of the proposed project activities that will have an impact on ethnic groups;
- identify indicators, results and sources to establish a reliable baseline data for future monitoring; and
- describe the strategic priorities for contributing to increased ethnic equality both within partner organizations as well as in their policies and programs.

9. Environmental Management

While the KEEP program does not support environmental projects per se, all initiatives supported under the program must comply with the *Canadian Environmental Assessment Act* (CEAA). With this in mind, the detailed proposal must describe:

- the environmental effects of the project, including the environmental effects of malfunctions or accidents that may occur in connection with the project and any cumulative environmental effects that are likely to result from the project in combination with other projects or activities that have been or will be carried out;
- the significance of these effects, if any;
- measures that are technically and economically feasible that would mitigate any significant adverse environmental effects of the project, and any other relevant matter such as the need for and alternatives to the project; and
- how the project will respect local and Canadian environmental legislation and support and promote sustainable development.

More information on CIDA and the CEAA can be found on CIDA's website www.acdi-cida.gc.ca/ea



10. Management Strategy and Structure

- Outline how the project will be managed, including planning, collecting baseline data, monitoring, and reporting functions (partners will be expected to hold a yearly information meeting in Brazil to which CIDA and ABC would be invited to discuss the project's progress).
- Indicate how the partner organizations, and other participants, will work together and foster equitable participation in managing the project.

11. Partners

Briefly describe the origins of the proposal; how did the partner organizations come together; and how was the proposal developed?

Canadian Partners

- Provide two-page long CVs of the key project team members.
- Provide a brief profile of the Canadian partners (including the name and résumés of the key management and delivery personnel who will participate) and their potential roles and responsibilities.
- Explain why the Canadian lead partner is appropriate to implement the proposed project, based on its technical and managerial experience and capacity.
- Explain how the proposed project fits with the mandates, priorities, and existing programs of the Canadian lead partner.
- Explain the roles and responsibilities of the secondary partners in the project.

Brazilian Partners

- Provide two-page long CVs of the key project team members.
- Provide a brief profile of the Brazilian partners, (including address and name of the key contact

person) and their potential roles and responsibilities.

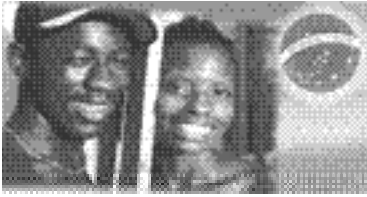
- Explain why the Brazilian lead partner is appropriate to implement the proposed project, based on its technical and managerial experience and capacity.
- Explain how the proposed project fits with the mandates, priorities, and existing programs of the Brazilian lead partner.
- Explain the roles and responsibilities of secondary partners in the project.

12. Project Budget

- Provide a detailed breakdown of all anticipated costs for the project, based on the inputs summarized above and on the model presented in the Annex B of this booklet. These should be organized by expense categories (i.e. costs of salaries/professional fees, travel costs, training materials, etc.), and should include an explanation of how they were derived (i.e. specify budgeted rates and volumes, applicable overhead compensation as per CIDA's new overhead rate policy (<http://www.acdi-cida.gc.ca/overheadrate>))
- Quantify all anticipated sources of project funding, whether from CIDA, the Canadian and Brazilian partner organizations, or other donors/participants.
- Summarize additional "in-kind" contributions from the Canadian and Brazilian partner institutions and other participants (see definition of "in-kind" contribution in General Information – Booklet 1, item 3.13).

13. Logical Framework Analysis

A Logical Framework Analysis (LFA) must be included with the proposal. The LFA summarizes and integrates many of the key issues described above, including the project goal, purpose, activities, inputs, results, and risks. For more information, see the *Guide to the Preparation of a Logical Framework*



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Analysis; Annex C of this booklet which contains an LFA Outline; and also see CIDA's Performance and Knowledge Management Branch website at www.acdi-cida.gc.ca/perfor-e.htm.

What are the steps for a successful proposal?

If a project is recommended for approval, the following process will be followed:

- The Brazil Program will seek the selection of the Canadian proponent by the Minister for International Cooperation for approval.
- Once the Canadian partner organization has been selected to implement the project, the CIDA Desk will submit the necessary project approval documents to the Vice- President, Americas Branch, for project approval in accordance with the current delegation of authorities.
- Once approved, the program will negotiate a contribution agreement or an inter-departmental administrative arrangement with the Canadian proponent to deliver the project. This document outlines the roles and responsibilities of CIDA and the participating organizations (in particular, of the lead Canadian partner), the expected results, the terms of payment, the reporting requirements, and the terms and conditions for managing public funds.
- For projects with a CIDA contribution of \$200,000 or more, CIDA's Financial Risk Assessment Unit (FRAU) may be required to conduct a financial risk assessment of the lead Canadian partner.*
- It is a CIDA policy to recommend that lead Canadian partners seek the signature of formal arrangements with their lead Brazilian partner. However, it is up to the partners to decide if this type of arrangement is desirable and feasible.

*** Financial Risk Assessment**

If the approved project means that the proponent(s) will be receiving \$200,000 or more annually from CIDA resources, the proponent may be asked, unless previously provided, to submit financial statements for each of its three most recently

completed fiscal years in keeping with the requirements of CIDA's Financial Risk Management Process. CIDA's Financial Risk Assessment Unit (FRAU) in the Finance Division assesses the proponent's financial statements and provides a report to the Program Unit for action, as required, following the review process, but before the contribution agreement is negotiated.

On the Brazilian side, ABC will negotiate and sign a project approval document with the lead Brazilian partner. This document is generally signed by ABC, the Brazilian partner organization, and a representative of the Government of Canada in Brazil.

Coordinates for submitting project proposals

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and

ABC

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ANNEX A

Knowledge Exchange for Equity Promotion Program Evaluation Grid – Long-Term Initiatives

Name of Canadian organization:
Name of Brazilian organization:
Name of project:
Date Received _____ Date Reviewed _____
Review Committee members
ABC _____ CIDA _____

A) Mandatory Criteria

Fit to Program

1. Does the project address equity issues in at least one of the three program sectors in Brazil?
 Governance
 Health
 Labour
2. Does the project fit to the program regional concentration?

Strong Partnership

3. Does the proposal demonstrate a clear partnership between one or more Brazilian and Canadian organizations?
4. Is the Canadian lead partner a government or non-profit organization?
5. Is the lead Canadian partner a private for-profit company?

Demand Driven

6. Has there been a clearly expressed request from the Brazilian partner for assistance consistent with the proposed project objective(s)?

Knowledge Creation

7. Does the proposal clearly define the Canadian models to be exchanged?

Strategic Institution

8. Are the Canadian partners leaders in the field of the models being exchanged?
9. Does the lead Canadian partner have the technical, managerial, and operational capacity to implement the project in question?

ANNEX A (cont'd)

A) Mandatory Criteria

10. Do the Brazilian partners have the interest and the technical, managerial and operational capacity to adapt the models to their context?

Capacity Development

11. Does the proposal strengthen Brazilian counterparts' ability to carry out their mandate? *

Cost Shared

12. Are partner organizations mobilizing a reasonable and substantial share of non-CIDA resources (financial and in-kind) to support the project's implementation?
13. Does the project's budget present a clear view of the use of CIDA's potential contribution and of other resources mobilized by the partners?

Results Based

14. Are the expected outcomes and outputs realistic and specific, and are they linked to appropriate means of verifying their achievement (baseline data, indicators)?
15. Does the project present a solid Results Based Management (RBM) methodology?

Sustainable linkages

16. Is there a clear potential to sustain the project results beyond the period of CIDA funding?

Gender Equality

17. Does the proposal integrate gender considerations at the project planning, implementation, monitoring, and reporting stages in accordance with CIDA's *Policy on Gender Equality* (1999)? *

Ethnic Equality

18. Does the proposal integrate ethnic equality considerations at the project planning, implementation, monitoring and reporting stages? *

Environment Management

19. Does the proposed sub-project incorporate environmental considerations in accordance with the operational objectives of the *Canadian Environmental Assessment Act* (CEEA)? *

* These elements may be developed as part of the detailed proposal projects activities at the output level.

ANNEX B
Project Budget and Forecast Disbursements of CIDA Funds
One table for each year of the project (year 1, year 2, etc.)

Line Item Breakdown	DETAILS			CONTRIBUTIONS FROM ALL PROJECT PARTNERS				
	Quantity	Cost in \$ / quantity	Total Project Budget	Lead Cdn Partner	Other Cdn Partners	Lead Braz. Partners	Other Braz. Partners	CIDA (note 1)
Lead Partners Salaries eg. Canadian Project Coordinator eg. Brazilian Project Coordinator eg. Canadian Technical Staff eg. Brazilian Technical Staff eg. Canadian Support Staff eg. Brazilian Support Staff		(note 2)						
Subtotal:								
Other Partners Salaries eg. Canadian Secondary Partners eg. Brazilian Secondary Partners								
Subtotal:								
Canadian Outside Consultants Fees eg. Gender Equality Advisor eg. Environment Advisor eg. Ethnic Equality Advisor		(note 3)						
Subtotal:								
Direct Expenses in Canada eg. Airfare Brazil to Canada eg. Per diems in Canada		(note 4)						
Subtotal:								
Direct Expenses in Brazil eg. Airfare Canada to Brazil eg. Per diems in Brazil		(note 4)						
Subtotal:								
Other Direct Project Expenses eg. Training Materials eg. Communications eg. Translation/Interpretation								
Overhead (note 5)								
Subtotal:								
TOTAL:								

Note 1: CIDA's contribution cannot be used to provide financial support (eg. salaries) to Brazilian organizations.

Note 2: Lead partner participation is reimbursed on an annual salary basis rather than a fee basis.

The daily salary is calculated by dividing the annual salary plus fringe benefits by 260 days.

- Note 3: Outside consultants can be paid no more than market rates up to \$600 per day.
- Note 4: All travel expenses must be in accordance with the Treasury Board Travel Directive (http://www.tbs-sct.gc.ca/travel/travel_e.html).
- Note 5: Any overhead rate will be established in accordance with CIDA's Overhead Rate Policy (<http://www.acdi-cida.gc.ca/overheadrate>).
Established rates may also be subject to cost-sharing between CIDA and the lead Canadian partner.

ANNEX C
LFA Outline

Country/Region	Brazil	Project No.	
Project Title		Project Budget	
CEA/Partner Organization		Project Manager ▶	
Related C/RPF Dated		Project Team Members ▶	
NARRATIVE SUMMARY	EXPECTED RESULTS	PERFORMANCE MEASUREMENT	ASSUMPTIONS / RISK INDICATORS
Project Goal (Program Objective)	Impact	Performance Indicators	Assumptions / Risk Indicators
Project Purpose	Outcomes	Performance Indicators	Assumptions / Risk Indicators
Resources	Outputs	Performance Indicators	Assumptions / Risk Indicators