



Canadian International
Development Agency

Agence canadienne de
développement international

Guidelines for Emergency Humanitarian Assistance Project Proposals and Reports

Canadian International Development Agency
200 Promenade du Portage
Gatineau, Quebec
K1A 0G4

Tel: (819) 997-5006

Toll free: 1-800-230-6349

Fax: (819) 953-6088

(For the hearing and speech impaired only (TDD/TTY): (819) 953-5023

Toll free for the hearing and speech impaired only: 1-800-331-5018)

E-mail: info@acdi-cida.gc.ca

Canada 



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Guidelines For Project Proposals and Reports

CIDA's International Humanitarian Assistance Division



Photo by Beverly Carmicheal

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List of Acronyms and Abbreviations

CIDA	Canadian International Development Agency
CEAA	Canadian Environmental Assessment Act
CRC	Canadian Red Cross
ICRC	International Committee of the Red Cross
IHA	International Humanitarian Assistance
IHA Division	International Humanitarian Assistance Division of CIDA
IHA Unit	One of the three units within the IHA Division at CIDA
IHL	International Humanitarian Law
MHTs	Mobile Health Teams
NGO	Non-Governmental Organization
OCHA	Office for the Coordination of Humanitarian Affairs
PF	Performance Framework
PHCs	Primary Health Care Centres
PMP	Performance Measurement Plan
RBM	Results-Based Management
SCRC	Sri Lanka Committee of the Red Cross
UN	United Nations
WBS	Work Breakdown Structure
WHO	World Health Organization

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Introduction to the Guidelines

We welcome you to these guidelines and hope you will find them helpful. They have been prepared by the International Humanitarian Assistance (IHA) Division of the Canadian International Development Agency (CIDA). **These guidelines are meant for agencies seeking emergency funds to support short-term international humanitarian assistance¹.** We have included four sections in the guidelines as outlined below.

- ❑ **Section #1** provides important background to CIDA's International Humanitarian Assistance (IHA) program and clarifies the type of projects for which these guidelines have been developed.
- ❑ **Section #2** explains the objective and expected results of the short-term responsive IHA program. It presents a logic model that we use to help keep our program and rolling portfolio of projects focused and strategic.
- ❑ **Section #3** gives a format that we are suggesting implementing partners use when submitting a proposal.
- ❑ **Section #4** provides our format for reporting. A final project report - following this suggested format - is required of all successful grant applicants.

In producing these guidelines, we have assumed an open and ongoing dialogue between the IHA Division and you, the implementing partners. We encourage the use of the guidelines as a reference in this dialogue and to help us together finalize project proposals and reporting commitments.

Our goal with these guidelines is to work towards the constant improvement of Canada's international humanitarian assistance. Consistent with the Results-Based Management (RBM) policy introduced by CIDA in 1996, CIDA insists on a results orientation in all the work that it supports. Both the project proposal and reporting formats that are presented in these guidelines emphasize the achievement of results.

¹ The IHA Division plans to develop guidelines and a results-based performance framework for Disaster Preparedness and Mitigation activities in the near future.

Section #1 - CIDA's IHA Program

1. Mandate of CIDA's IHA Program

The mandate of CIDA's International Humanitarian Assistance (IHA) program is to help ease human suffering resulting from conflicts and natural disasters in developing countries. The program's objective is to ensure that Canadian funded humanitarian assistance is appropriate, timely, and effective.

The IHA Division within CIDA is Canada's principle conduit for non-food emergency humanitarian assistance to developing countries. Other programs that also respond to emergency situations include CIDA's Program Against Hunger, Malnutrition and Disease² as well as Canadian Embassies and High Commissions. In limited cases, the Department of National Defence and the Department of Foreign Affairs and International Trade contribute to relief efforts in developing countries.

2. Short-term Responsive Programming

There are different types of programming supported as part of CIDA's overall IHA program. Short-term responsive programming for emergency relief - which accounts for the largest percentage of IHA's program budget - is our exclusive concern here³. Exhibit #1 below summarizes the characteristics of this type of programming. The short timeframe emphasizes that this programming exists to help deliver Canada's *immediate* humanitarian response rather than for long-term, sustainable, developmental investments.

To help assure that our support is timely, coordinated, and appropriate, the IHA Division works closely with organizations and agencies of the United Nations, the Red Cross and Red Crescent Movement, and Canadian NGOs with proven capacity in emergency relief.

We answer appeals from organizations as quickly as possible. Response to natural disasters can be made within hours through established channels coordinated by the Red Cross, the UN, and NGOs that are on site. For complex emergencies involving ongoing humanitarian assistance, more extensive appraisal is both necessary and desirable.

Type of project	Responsive humanitarian relief
Duration	Usually one year or less
Implementing agent	Canadian NGO or multilateral institution
Activities	Organizing to establish emergency services
Expected measurable outcomes	Improvements in human condition

² Also commonly known as the "Food Aid Centre"

³ For example, core funding to multilateral organizations is handled separately. The Peacebuilding Unit within the Division also has separate guidelines for its unique type of programming.

3. Criteria for Approving a Proposal

We assess appeals in consultation with the concerned Canadian mission overseas, with relevant programs in CIDA, and with the Department of Foreign Affairs and International Trade. Information is continually received and compiled from diverse sources including NGOs and information networks established by the UN and the Red Cross. We are not able to respond to all proposals that we receive.

Acceptance of a proposal depends on a convincing needs assessment, a credible results-based proposal (see Section #3 of these guidelines for details), organizational capacity of the implementing partner to deliver results, and available funding. Contributions of other donors and relief agencies are taken into consideration. We do not provide funding to NGOs on a matching grant basis and the financial participation and commitment of the NGO is taken into account as part of the appeal assessment. Note that the IHA program neither favours nor discriminates against recipient organizations on the basis of race, religion or creed.

4. Organizations Eligible for Funding

Organizations eligible to receive funding from the IHA program generally have an existing field structure - complete with established local partners - in the disaster affected area, as well as an established track record in achieving results in emergency relief. Below we have included a checklist that we use to establish NGO eligibility for program funds. We prefer to fund NGOs with direct involvement in emergency projects. Lower priority is given to NGOs acting as funding intermediaries.

NGO Eligibility - Institutional Criteria

- Must be a Canadian organization, legally incorporated in Canada, that has existed for at least three years.
- Must be registered as non-governmental and non-profit.
- Must have organizational by-laws that clearly state the following: conditions of membership and the organization's relationship to the larger Canadian society; who is paid to work with the organization; and what happens to the property of the organization, including any debts, in the event of dissolution.
- Must possess satisfactory systems and skills in results-based management, including financial accounting, monitoring, and reporting.
- Must demonstrate the ability to raise funds from the Canadian public for humanitarian assistance.
- Must adhere to The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief (visit <http://www.icrc.org> to review this code).
- Should aspire to Sphere Minimum Standards in Disaster Response, or other recognized ethical norms, in implementation of activities (visit <http://www.sphereproject.org> to review Sphere standards).

NGO Eligibility - Program Criteria

- ❑ Must have experience and proven capacity to achieve results directly relevant to the IHA short-term responsive program.
- ❑ Must be able to submit credible reports showing a track record of achieving relevant results.
- ❑ Must have in-house skills in at least one of the priority activity sectors of the IHA program.
- ❑ Must have three years of work experience in the delivery of humanitarian assistance in at least three different countries.
- ❑ Must be committed to networking, partnership, and coordination through strong existing relationships with local NGOs in developing countries, and experience of cooperation with UN organizations and local government.

Exceptions to the foregoing may be granted (e.g. to operations in at least three different countries) where an NGO can demonstrate that it has the requisite experience, skills and partnerships to deliver effective humanitarian assistance in a particular setting.

5. Exclusions

Programs, projects or activities excluded from IHA funding are:

- long-term development, except special rehabilitation projects associated with refugees and returnees and displaced persons;
- with the exception of disaster preparedness activities, we do not fund multi-year projects;
- food aid, except for therapeutic feeding; and
- research activities, search and rescue operations, independent experts, and transportation costs for unsolicited new or used goods.

6. Extensions

Under special circumstances, the IHA Division may agree to extend the time frame of approved projects. Such extensions, as well as supporting justifications, must be requested in writing by the Organization at least one month prior to the termination date of the Project. CIDA's IHA Division shall inform the Organization of its decision in writing, no later than one month after receipt of the request.

7. Change of Scope

NGOs must seek prior IHA Division approval if a significant change of scope is required, including significant budget reallocations. This is particularly the case where field administration costs are projected to rise significantly (more than 15%) even if within the existing overall approved budget framework.

8. Refunds

Any funds not utilized for project purposes, or unaccounted for as of the termination date of the project specified in the Funding Agreement, must be returned to the Receiver General for Canada.

9. Forwarding Proposals

Proposals for projects seeking funds to support emergency humanitarian assistance in developing countries should be sent to the International Humanitarian Assistance Program of CIDA as detailed in the box below.

Project activities can be initiated only after receipt of the signed Funding Agreement. The IHA program does not allow for retroactive payment of activities.

Contacts for Forwarding Your Proposal



International Humanitarian Assistance Division
Canadian International Development Agency
.. 200 Promenade du Portage
.. Hull, Quebec
.. Canada, K1A 0G4



Phone: (819) 994-3948
.. Fax: (819) 997-2637

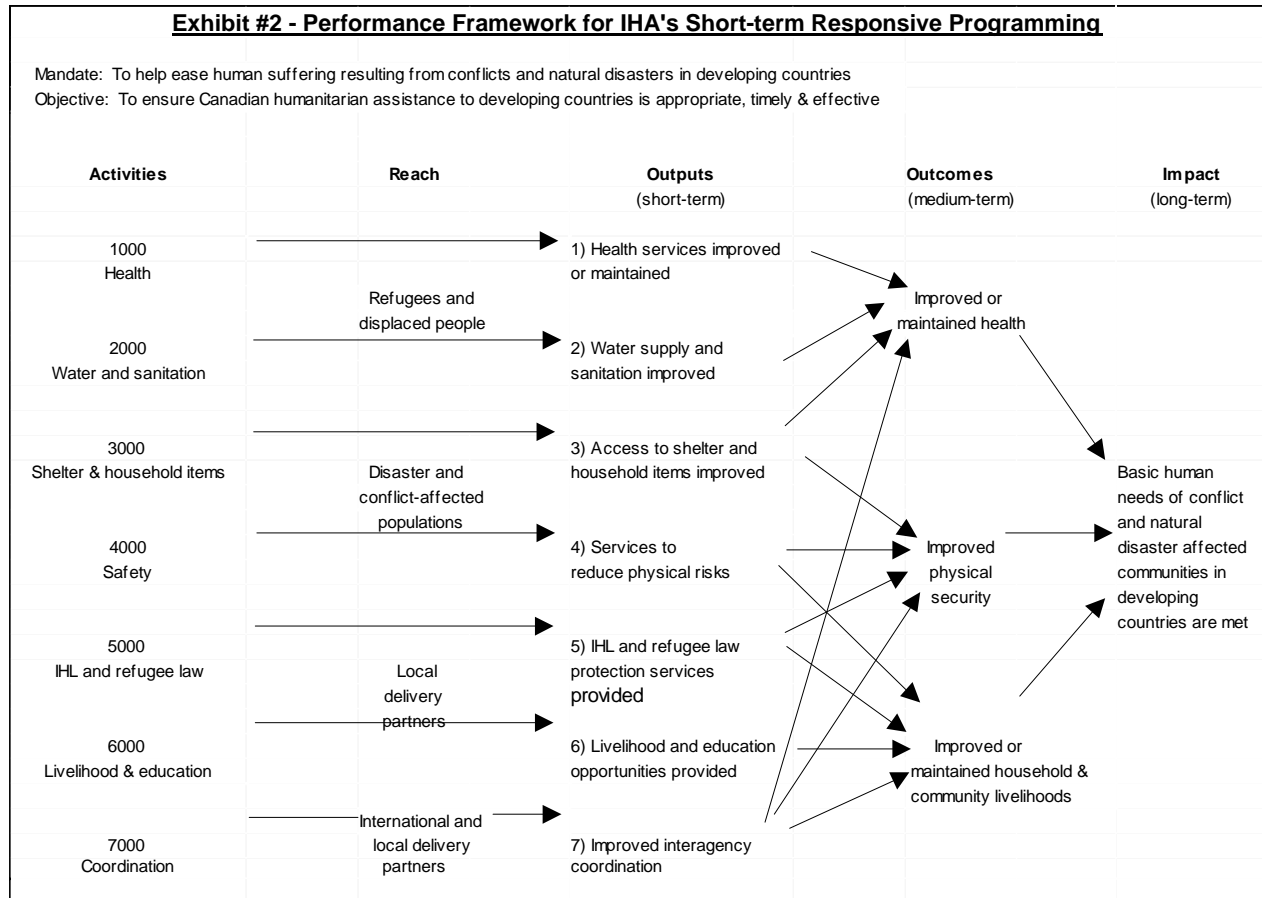


E-mail: info@acdi-cida.gc.ca

Section #2 - Program Objective and Expected Results

To help us meet our program objective and to improve accountability for results, a Performance Framework (PF) for short-term responsive funding has been developed (see Exhibit #2 below). In Section #2 we refer to this PF to explain the results that we expect our short-term responsive program to achieve.

Objective of the IHA program:
To ensure that Canadian humanitarian assistance to developing countries is appropriate, timely, and effective.



The PF describes our program's expected results at three levels. Seven short-term program outputs - the establishment of relief services and donor coordination - are expected to be achieved as approved, funded projects are implemented. Three key medium-term outcomes are the measurable benefits to disaster and conflict-affected people that we are committed to achieving through a rolling portfolio of successful projects. Finally, we expect the program as a whole to contribute to a long-term impact. Arrows depict expected cause-effect relationships between activities and the three levels of program results. Narrative detail is presented below so that all potential implementing partners are clear on what our short-term responsive program is committed to achieving.

1. Expected Impact

The expected impact of the IHA program is to *help* meet the basic human needs of conflict and natural disaster affected communities. **Please note** - All projects funded by the IHA program must be logically relevant to this impact.

The expected impact of the IHA program is to *help* meet the basic human needs of conflict and natural disaster affected communities in developing countries. Conflicts and natural disasters will continue to negatively affect communities in developing countries for the foreseeable future. The complex dynamics that lead to armed conflicts and the increased vulnerability and poverty that fuel natural disasters will of course not be resolved by CIDA's IHA program⁴. Therefore, we do not expect to achieve the stated impact but rather to contribute to it.

2. Expected Program Outcomes

We seek to support projects that are designed to achieve or significantly contribute to one or more of three specific outcomes. We have described these in detail below. Priority will be given to those project proposals that are credibly designed to achieve measurable change in at least one of these outcomes *within the life of the project*.

Please Note - All short-term responsive projects funded by the IHA program should be designed to achieve one or more outcomes that are directly relevant to one or more of our three expected program-level outcomes:

- Improved or maintained health
- Improved physical security
- Improved or maintained household and community livelihoods



Where realistic and relevant, all indicators should be disaggregated on the basis of sex. It cannot be assumed that all members of the target population receive equitable benefits or supports. Even in difficult situations it should be possible to have a rough breakdown of sex ratios (for example, what percentage of the affected population or the population participating in an initiative is male or female). For further information on gender and indicators, please see <http://www.acdi-cida.gc.ca/equality>; click on **Tools and Resources**, click on **CIDA Resources and Publications**: click on **Guide to Gender Sensitive Indicators**.



⁴ This requires integrated long-term initiatives to reduce tensions and inequalities, and improve disaster preparedness and prevention at international, national, and regional levels. CIDA is involved in a myriad of these important longer-term initiatives.

Outcome #1 - Improved or maintained health

To achieve this program outcome, the IHA program will fund projects that re-establish (or in some cases establish) and maintain a range of relief facilities and services. Improvements to health services, including reproductive health services, water supply and sanitation, and access to shelter and household items, are the most important direct contributors. Other outputs, such as services to reduce physical risks, or services to improve livelihood and education opportunities, will contribute indirectly by supporting physical and mental health. Our expectation is that projects selected to contribute to this program outcome will be designed to monitor changes in the health status of targeted beneficiaries. This presupposes that some key indicators will be selected and operationalized by local delivery partners so that health conditions at the start and at the end of the intervention can be compared.

Below are some widely accepted indicators to help track progress in achieving this outcome. The list is not comprehensive and you are not restricted to these few examples. Delivery partners will be in the best position to choose specific project-level indicators that are relevant and practical in the local context.



Examples of project-level indicators to measure improved or maintained health:

- Morbidity rates for specific diseases (e.g. rate of water-borne or waste-borne disease)
- Mortality rates by sex, age, and social grouping (e.g. rates for under-five)
- Prevalence of epidemics (e.g. number of new cholera cases) by sex
- Rate of mental health conditions (e.g. prevalence of clinical depression etc.) For men and women
- Rate of recovery in therapeutic feeding centres (by sex)
- Access to health services by women and men



Outcome #2 - Improved physical security

To achieve this program outcome, IHA will fund projects that seek to provide goods, facilities and services that improve the physical protection and security of beneficiaries. This includes projects designed to improve individual and community protection from physical threats posed by nature, for example, wind, mudslides, rain, earthquakes, toppling buildings, pests, and floods. It also includes projects designed to protect beneficiaries from armed belligerents, such as armies, militia, police, criminals, and angry community members; and from increased domestic violence which is often part of a sustained, complex emergency situation. Projects designed to contribute to this program-level outcome will emphasize initiatives to improve physical safety and security, such as, housing, fencing, patrols, and night-time lighting. Note that the prerequisites for the physical security of women and girls differ from those for men and boys. For example, boys and young men may be targeted for military recruitment, while women and girls face additional forms of violence, including sexual violence. These differences should be taken into account in project proposals.

Some examples of indicators that we believe would be directly relevant and valid for this outcome are listed below. Note that in some cases, indicators for Outcome #1 can serve as proxy indicators for Outcome #2. For example, improved mortality or morbidity may indicate improved physical security, such as protection from the elements or from gunfire.




Examples of project-level indicators to measure improving physical security:

- Level of physical insecurity felt by target groups (disaggregated by sex, age, etc.)
- Number and types of security incidents reported by women and men (e.g. sexual assault, bombings, child soldiers, etc.)
- Number of girls and boys enlisted in local militia or in the sex trade
- Frequency of combatant leaders targeting civilian population
- Percentage of affected households that are suitably sheltered from the elements

Outcome #3 - Improved or maintained household and community livelihoods



Livelihoods are the various capabilities, activities, and material and social assets required by a household or community to support their means of living. A livelihood is improved or maintained when it is adjusted to new realities and eventually recovers from natural disaster or conflict. To achieve this program-level outcome, the IHA program will fund projects that can encourage a more cohesive social environment in affected communities. This requires that a range of community facilities and services be established or improved. Typical examples include providing children and youth with primary schooling and recreation, helping families secure a means of livelihood, and lending support to local marketing initiatives. Some examples of project-level indicators that we believe would be directly relevant and valid for this outcome are

listed below.



Examples of project-level indicators to measure improving or maintaining household and community livelihoods:

- Level of involvement of women and men in rebuilding their lives (e.g. direct management of humanitarian response, community-based initiatives, etc.)
- Level of consensus within community on reconstruction priorities and plans
- Percentage of children/youth continuing with education (enrolment and graduation achievements)
- Value of key commodities in local markets
- Percentage of families with at least one member employed

3. Expected Outputs

We are committed to achieving the three outcomes noted above through achieving a combination of seven key outputs. Six of these relate to services being improved or made available, for example, improved emergency curative and preventative health services in disaster and conflict affected areas. Output #7 is our expectation of improved coordination between and within institutions. We will only fund projects that are able to contribute directly to one or more of these seven expected outputs. For each of these program-level outputs, a menu of outputs that might be expected from individual program-funded projects is given below in Exhibit #3. These are only examples. We are looking for proposals with specific project-level outputs that are relevant and achievable in the local context.

Exhibit #3 - Examples of project outputs that could contribute to IHA's program
Program Output #1 - Health services improved or maintained
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • Improved access to first aid/health centres (including psychological health). • Improved access to therapeutic feeding centres. • Improved availability of appropriate medicines and medical supplies & appropriately trained/delivered services. • Specific health services provided (e.g. landmine victims, malaria, HIV/AIDS etc.). • Family planning & reproductive health services provided to both women and men. • Health surveillance system established and maintained.
Program Output #2 - Water supply and sanitation improved
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • Improved access to safe and reliable water points for male and female users. • Improved access to safe pit latrines conforming to cultural norms of users. • Improved disease and pest vector control. • Improved access to personal hygiene products. • Improved disposal of human and solid waste. • Water user committees established (operational committees would be part of Outcome #3).

Program Output #3 - Access to shelter & household items improved
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • Improved temporary shelter (with particular attention to vulnerable groups, including single parent families). • Homes repaired with active participation of male and female beneficiaries. • Communities hosting affected population supported with non-food items. • Improved, equitable access to non-food items (e.g. blankets, clothing, footwear, water collection and storage supplies, etc.). • Improved insect control using bed nets/mosquito nets.
Program Output # 4 - Services to reduce physical risk
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • Improved camp design to account for specific security threats faced by vulnerable groups, particularly women and girls. • Improved lighting of water and sanitation facilities in camps. • Live fencing (planted thorn bushes) around refugee camps. • Family reunification. • Humanitarian de-mining service carried out. • Involvement of beneficiaries in design and implementation of security measures.
Program Output # 5 - IHL and refugee law related protection services provided
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • Improved monitoring of female and male internally displaced people (IDP) and returnees. • Increased international presence. • Improved dissemination of refugee and international humanitarian law & rules of war. • Improved protection of detainees through prison visits. • Improved recognition and protection of the human rights of girls and women, boys and men. • Improved protection of humanitarian workers.
Program Output # 6 - Livelihood and education opportunities provided
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • New knowledge and skills related to income generation including non-traditional skills for women and girls. • Improved access to on-the-job training opportunities. • Improved access to agricultural training, tools, seed, and land. • Viable income-generating opportunities for women and men . • Schools and education programmes established/rehabilitated (curriculum, training materials, teachers in place).
Program Output #7 - Improved interagency coordination
<p><i>Possible related project-level outputs</i></p> <ul style="list-style-type: none"> • More coordinated strategic planning process (e.g. common needs assessment, appeal process, and program planning) in order to reduce duplication, better identify gaps and have greater reach/coverage. • Improved awareness by IHA Division of what other multi and bilateral donors are doing/ providing. • Improved integration of IHA with existing NGO development projects.

- Improved capacities of IHA partners to work with cross-cutting themes, such as gender equality and the environment, within humanitarian assistance initiatives.

4. Activities that the Program Will Fund

In order to achieve the expected results discussed above, the IHA short-term responsive program will target seven different groupings of activities or activity sets:

- 1000 Health
- 2000 Water and sanitation
- 3000 Shelter and household items
- 4000 Safety
- 5000 IHL and refugee law related protection
- 6000 Livelihood and education
- 7000 Coordination.

At the project level, planned activities will be more specific and detailed than these generic headings. Approved project activities must have an obvious relationship of cause-effect logic to the output(s) that the project activity is expected to generate.

5. Expected Beneficiaries

The beneficiaries who will be “reached” or covered by program activities are disaster and conflict affected populations, a large sub-set of which are male and female refugees and internally displaced people. Inclusion of women and children as specifically targeted beneficiaries is a special concern of the program. Inclusion of ethnic and other minority groups is also expected. In specific local contexts, the forgotten needs of these groups can be as pressing as those related to discrimination on the basis of gender.

Local delivery partners are often intermediate beneficiaries. Local partners are key participants in a relief effort and supporting their capacity to provide humanitarian services (training, hiring staff, providing equipment, etc.) is considered by us to be an important activity. In the case of coordination, our international delivery partners will typically be an intermediate beneficiary. For example, funds can be used to help a number of international implementing organizations undertake a joint needs or program assessment.

6. Cross-cutting Themes and Principles

The IHA program is strategically focused on key results. However, the program is also managed with a number of cross-cutting themes and principles that we consider central to the success of our work. These are noted below.

1. *Gender* - all programming must address the specific and differentiated needs, interests and vulnerabilities of affected women and men, girls and boys. Where possible, within the context of humanitarian assistance, initiatives should also look to narrow gender inequalities, support women's participation in decision-making and support women and girls in the realization of their full human rights. IHA will look for proposals designed to strengthen women's roles in decision-making, to ensure that women's voices are heard, and to expand opportunities for both girls and boys. Appropriate indicators, including data disaggregated by sex, must be used to track and report on progress in achieving gender-specific results.
2. *Consultation and participation* - IHA programming seeks to significantly involve targeted, affected populations in decision-making relating to needs assessment, program design and implementation. Special measures may be required to gain the views and perspectives of minority groups, and of women and youth given that they are often excluded from community decision-making forums. The IHA program seeks to support project activities that are based on a full awareness of local socio-economic realities and indigenous coping strategies and mechanisms.
3. *Capacity building* - the IHA program strives to support and further develop local capacities to assess, design and implement appropriate humanitarian programming, particularly in the context of chronic complex emergencies. This is especially important in considering to whom and how to transfer responsibility for ongoing programs and project assets. Since IHA-supported projects are one year or less in duration, and capacity building is complex and takes time, the expectation is that reliance on existing capabilities would be the normal starting point of IHA-supported projects rather than trying to build capacities from scratch.
4. *Coordination* - the IHA program looks at how particular projects fit into wider disaster responses, what coordination mechanisms are planned or are already in place, and how implementing partners are connected into these coordination mechanisms, whether host government, UN or NGO-led.

5. *Environment* - the IHA program seeks to assure that environmental planning is incorporated into the design of projects whenever applicable. Further, the IHA program is obliged to respect the Canadian Environmental Assessment Act (CEAA). It is the responsibility of the organization that submits a proposal to include, if required, an environmental assessment. An assessment is required for all planned activities that involve construction or operation of a physical work or its modification, decommissioning, or abandonment. Such an assessment is not required if the project is on the “Exclusion List” or considered an emergency as defined by the Act, that is, “the project is to be carried out in response to an emergency and carrying out the project is in the interest of preventing damage to property or the environment or is in the interest of public health and safety”. Post-emergency rehabilitation and reconstruction are not considered by the CEAA as emergency work. Please discuss with the respective IHA Division project officer if an environmental assessment is required for your proposal. If so, these officers can provide support in working through the process. You may also wish to visit the environmental assessment screening form found on CIDA’s website.

Do no Harm - The IHA program is often called upon to support humanitarian assistance in areas wracked by conflict. While not attempting to address or solve the potential dimensions of armed conflicts, the manner in which humanitarian assistance is delivered can affect the conflict. In these situations, it is extremely important to avoid delivering aid (or appear to deliver aid) that exacerbates the tensions between groups. For further details of the do-no-harm principles see <http://www.cdainc.co> for a synopsis of *Do No Harm: Supporting Local Capacities for Peace through Aid*, by Mary Anderson, Local Capacities for Peace Project, 1996, and also The War-Torn Societies Project <http://www.unrisd.org/wsp>.

6. *Recognized principles and standards* - the IHA program strives to explicitly adhere to, or at least be coherent with, the Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief, the Sphere Humanitarian Charter, and internationally recognized standards for disaster relief such as the Sphere Minimum Standards in Disaster Response, and WHO Technical Guidance. The IHA program also adheres to the principle that its support should “do no harm” especially in situations of armed conflict (see side box).
7. *Sustainability* - the expectation of emergency welfare rather than sustainable investment is the primary reason why IHA program funds short-term responsive projects. That said, the IHA program strives to assure, whenever possible, that relief efforts are linked to recovery, and that its support leads to results that can be sustained beyond the short-term life of the project.

Section #3 - Format for Proposals

The format presented below is intended to help you complete results-based proposals for humanitarian relief projects of one-year or less in duration. Some adjustment to the format may be necessary by your team depending on your project type and the specific circumstances involved. To further assist you, and to help the proposal writing and selection process itself become a more transparent and open learning experience, we are committed to posting a selection of approved and funded proposals on our website. You are welcome to visit this site to learn more about how our existing implementing partners are designing projects and structuring their proposals.

This section begins with a suggested *Table of Contents* for your proposal. This is then followed by more detailed information to elaborate each suggested heading. Your proposal should have a one-page Project Proposal Summary Sheet as a cover page.

Suggested Table of Contents for Project Proposals

1. Project Proposal Summary Sheet

2. Project Overview

- 2.1 Background
- 2.2 Project Rationale
- 2.3 Implementing Agency Capacity

3. Project Description

- 3.1 Purpose and Expected Results
- 3.2 Beneficiaries
- 3.3 Planned Activities
- 3.4 Assumptions and Risk Mitigation Strategy
- 3.5 Project Management
- 3.6 Public Engagement and Benefits to Canada

4. Cross-Cutting Themes and Principles

- 4.1 Gender
- 4.2 Participation of Beneficiaries
- 4.3 Local Delivery Partnerships and Capacity Building
- 4.4 Convergence and Coordination
- 4.5 Environment
- 4.6 Sustainability

5. Monitoring and Reporting

- 5.1 Performance Measurement Plan
- 5.2 Reporting Format

6. Financial Information

- 6.1 Projected Expenditures
- 6.2 Sources of Income

1. Project Proposal Summary Sheet (limited to a single page, please)

Project title		
Type of crisis	(international conflict, civil conflict, natural disaster, environmental disaster, socio-economic breakdown, etc.)	
Country and specific location		
Project dates	Date of submission	
	Expected start-up	
	Expected completion	
Agency details	Name	
	Contact officer	
	Telephone/fax/e-mail	
Budget (\$CAD)	Total budget	
	Funds from CIDA	
	Funds from other sources	
Expected contribution to CIDA's IHA program - list most relevant outcome(s) <input type="checkbox"/> Improved or maintained health <input type="checkbox"/> Improved physical security <input type="checkbox"/> Improved or maintained household and community livelihoods		
Expected contribution to CIDA's IHA program - list most relevant output(s) <input type="checkbox"/> Health services improved or maintained <input type="checkbox"/> Water supply and sanitation improved <input type="checkbox"/> Access to shelter and household items improved <input type="checkbox"/> Services to reduce physical risks <input type="checkbox"/> IHL and refugee law related protection services provided <input type="checkbox"/> Livelihood and education opportunities established <input type="checkbox"/> Improved interagency coordination		
Number and description of expected male and female beneficiaries: (refugees, internally displaced, returnees, general local population, special vulnerable group, or other)		
Narrative summary of the project and planned activities: (quarter page or less, please)		

2. Project Overview

2.1 Background

- Describes the most significant social, political, military (if applicable), institutional, and economic features of the project's operating environment.
- Details the emergency situation, including its magnitude, onset, duration, and location.
- Provides a map to situation the project geographically.

2.2 Project Rationale

- Refers to specific appraisals and needs assessments that have been made to explain the extent and type of problem being addressed, the people affected, a gender analysis (if available) and the local vulnerabilities and capacities.
- Describes key relevant lessons that have been learned from previous experience in the area or from this type of project.
- Provides an analytical summary explaining why the NGO is undertaking the project.

2.3 Implementing Agency Capacity

- Explains how the agency came to be involved in the situation.
- Outlines relevant emergency experience in the region and country, and with the type of action proposed, and with working in the local language.

3. Project Description

3.1 Purpose and Expected Results

- The use of a Performance Framework is mandatory to help explain the internal logic of the project and the key outputs and outcomes expected (see Annex A for further detail).
- Includes a detailed narrative explanation of each expected result.

3.2 Beneficiaries

- Describes intermediate and ultimate beneficiaries .
- Describes what specific groups are being specifically targeted by age, gender, income, ethnic identity, etc.

3.3 Planned Activities

- Specifies planned activities and the main related inputs (goods and services) to be provided.
- Although not mandatory for proposals, you may wish to use a Work Breakdown Structure (WBS) or similar flowchart to link planned activities to expected results .
- Although not a requirement, you may find it useful to use Activity Sheets to organize your presentation, for example, a narrative description of the activity and underlying strategy, expected issues and challenges, inputs needed, and the budget required for that particular activity. Annex B gives further detail on the WBS and a sample Activity Sheet.

3.4 Assumptions and Risk Mitigation Strategy

- Identifies the main assumptions about the project's external environment necessary for the success of the project.
- Assesses high risks and presents risk mitigation strategies.

- Describes plans to minimize risk to project personnel in areas of conflict and instability.

3.5 Project Management

- Explains the management positions, reporting lines, and accountabilities.
- Gives a specific person's name and contact information for key management positions whenever possible.

3.6 Public Engagement and Benefits to Canada

- Briefly explains how the implementing partner has engaged the Canadian public in understanding the background and specifics of this humanitarian intervention.
- Lists specific, and tangible expected benefits to Canada from the implementation of this project.

4. Cross-Cutting Themes and Principles

4.1 Gender

- Explains how the project harnesses and develops the capacities, and addresses the different needs, interests and vulnerabilities of affected women and men, girls and boys.
- The IHA Division has recently developed the *Gender and Humanitarian Assistance Toolkit* (June 2001, prepared by Beth Woroniuk) to help the program more fully incorporate a gender perspective. This tool kit is available to implementing partners.

4.2 Participation of Beneficiaries

- Describes key stakeholders and identifies particularly vulnerable and minority groups.
- Explains how the project involves various groups of affected and marginalized people in needs assessment, project design, implementation, and monitoring.

4.3 Local Delivery Partnerships and Capacity Building

- Describes indigenous systems and services that already exist and how the project will work with these.
- Describes field-level partnerships, capacity of these local partners, and, if applicable, how the project plans to build this capacity.

4.4 Convergence and Coordination

- Lists internationally recognized principles and standards for humanitarian relief that the agency is committed to while implementing the project. If internationally recognized standards cannot be met, explain why.
- Describes efforts by the agency to coordinate its project initiative with governments, the U.N., international and local organizations, and with relevant multi-stakeholder policies and agreements.

4.5 Environment

- Explains how environmental planning has been incorporated into the design and implementation of the project.
- If required by the CEAA, this section will include or annex a relevant environmental assessment for the project.

4.6 Sustainability

- Explains how the project proposal has considered sustainable recovery and development, and if these considerations are not obviously part of planned activities, explain why.
- Describes how services or structures established by the project will be sustained and presents a plan for the withdrawal of the agency and transfer of the project assets and any remaining active initiatives.

5. Monitoring and Reporting

5.1 Performance Measurement Plan (see Annex C for details)

- Explains how progress in achieving each of the expected results will be measured.
- Presents key performance indicators and data collection tools that will be used.
- Gives baseline data and performance targets for each indicator being used, or if these are not available at the time that the proposal is submitted, makes a specific commitment to provide this information as part of the project's post-approval launch.

5.2 Reporting Format

- Refers to the format found in Section #4 of these guidelines.
- Specifies a due date for the report and delegates specific responsibility for forwarding the required report to a named, senior manager within the implementing agency.

6. Financial Information

6.1 Projected Expenditures (see Annex D)

- Presents tables to summarize estimated costs of major activities and inputs.
- Although not a requirement, when practical, the implementing partner may wish to refer to a WBS, if used, or a similar flowchart, so that costing can be related to expected outputs.
- States amount and rationale for project administration and overhead, including field monitoring and evaluation.

6.2 Sources of Income

- Presents table to summarize the project's sources of income (CIDA's IHA program, fundraising, other donors, etc.).
- If applicable, presents sources and amount of income for post-project activities.

Section #4 - Format for Reporting

The format presented below is intended to assist you in completing a project report. A report to explain and record the performance of your project, after its completion, is part of your obligation should we agree to accept and fund your proposal. Typically an implementing agency will submit only one performance report, due within three months after a project's planned completion date. In some special cases, an interim report may also be required as part of the signed Contribution Agreement. To further assist you, and to help your reports become more effective learning tools, we are committed to posting a selection of performance reports on our website. You are welcome to visit this site to learn more about how our existing implementing partners are reporting on their performance.

This section begins with a suggested *Table of Contents* for your project report. This is then followed by more detailed information to elaborate each suggested content heading. Your performance report should be closely related and coherent with the approved project proposal document. The first page of your report should be a one-page Project Report Summary Sheet. Note that some adjustment to this suggested outline may be necessary depending on your project type and the specific circumstances involved. For example, you will need to attach an environmental screening as required by the CEAA if the Act applies to your project.

Suggested *Table of Contents* for Project Reports

1. Project Report Summary Sheet

2. Project Overview

- 2.1 Background and Project Rationale
- 2.2 Update on the Emergency Situation

3. Project Description

- 3.1 Amendments to Approved Project Proposal
- 3.2 Purpose and Expected Results
- 3.3 Activities Completed

4. Actual Results Achieved

- 4.1 Performance Tables
- 4.2 Summary Assessment of Project Performance

5. Performance Factors

6. Withdrawal and Transfer

7. Financial Information

- 7.1 Actual Versus Planned Income and Expenditures
- 7.2 Narrative Explanation of Variance

8. Lessons Learned

1. Project Report - Summary Sheet

Project title		
CIDA Ref. #		
Country and specific location		
Project dates	Contribution agreement signature	
	Expected start-up	
	Actual start-up	
	Expected completion	
	Actual completion	
Agency details	Name	
	Contact officer	
	Telephone	
	Fax	
	E-mail	
Budget (\$CAD)	Total approved	
	Actual Expenditures	
Actual contribution to CIDA's IHA program - list most applicable outcome(s) <input type="checkbox"/> Improved or maintained health <input type="checkbox"/> Improved physical security <input type="checkbox"/> Improved or maintained household and community livelihoods <input type="checkbox"/> None of the above		
Actual contribution to CIDA's IHA program - list most applicable output(s) <input type="checkbox"/> Health services improved or maintained <input type="checkbox"/> Water supply and sanitation improved <input type="checkbox"/> Access to shelter and household items improved <input type="checkbox"/> Services to reduce physical risks <input type="checkbox"/> IHL and refugee related protection services provided <input type="checkbox"/> Livelihood and education opportunities established <input type="checkbox"/> Improved interagency coordination <input type="checkbox"/> None of the above		
Number and description of actual male and female beneficiaries, if any: (quarter page or less, please)		
Narrative summary of project performance in achieving its expected results:		

2. Project Overview

2.1 Background and Project Rationale

- A synopsis of sections 2.1 and 2.2 from the approved project proposal to situate the project and remind the reader why the proposal was approved and implemented.

2.2 Update on the Emergency Situation

- Briefly re-states the nature of the emergency, its evolution, and the present situation.
- Describes broadly how the situation external to the project evolved between the time the proposal was presented and the project's completion date.

3. Project Description

3.1 Amendments to Approved Project Proposal

- Refers to the approved project proposal and indicates significant amendments to the original design (if any) because of unexpected changes during the implementation period.
- Note that this section will be very short or absent if there have been few or no amendments and much longer, and overlapping with section 3.2, if amendments have been significant.

3.2 Purpose and Expected Results

- Refers to a PF (the original from the approved proposal or an amended version) to confirm what results were expected from the project.
- Makes the reader immediately aware of what was to be achieved and for whose benefit.

3.3 Activities Completed

- Summarizes the activities completed by the project.
- A WBS with brief additional narrative where actual activities have been different from planned activities is usually sufficient information for this section.
- When a project has under performed in achieving expected results, more narrative to explain the activities completed may be necessary to fully inform the reader.

4. Actual Results Achieved

4.1 Performance Tables

- The use of Performance Tables are mandatory since this is the heart of the performance report which analyses actual versus expected results based on data collected from key indicators.
- Uses one Performance Table for each of the outputs and outcomes found in the PF presented above in Section 3.2.
- A case study in Annex E gives an example of how Performance Tables can be used.
- Performance Tables show the reader the links between the planned results, actual outputs and outcomes, intended versus actual beneficiaries, and the problems encountered due to critical assumptions not holding true.
- A Performance Table for impact is not required since this high-level result is not expected to manifest itself at the time of the project's final report.

4.2 Summary Assessment of Project Performance

- Gives a short narrative summary of overall performance based on the detailed, evidence-based analysis found in the Performance Tables presented in section 3.2 and any other performance information available.
- Presents the agency’s overall assessment about the degree to which expected results were achieved and summarizes reasons for under achievement.
- Applies a rating scale to assess the degree to which the project achieved its expected results and reach given the resources utilized (see suggested assessment table below).

Summary Assessment Table of Project Performance		
Expected Result	Rating	Explanation of Rating
Outcome #1		
Output #1		
Output #2		
etc.		
<i>Rating Scale:</i>		
EE: Exceeding/exceeded expected result		OP: Experienced Other Problems
AE: Achieving/achieved expected result		UR: Unable to Rate
MP: Experienced manageable Problems		

5. Performance Factors

This section presents brief comments related to a number of project performance factors. Examining these factors is a second level of analysis, the first being the Performance Tables in Section 4.1, that gives us further opportunity to learn from experience.

- *Relevance* - how did the project respond to the priority relief needs of the recipient country/region and the main beneficiary groups?
- *Appropriateness* - given the local context, to what extent were project resources, capabilities, and selected strategies sensible and sufficient to achieve intended results? Was the project able to adhere to applicable, international standards, for example, The Code of Conduct for the International Red Cross and Red Crescent Movement and NGOs in Disaster Relief?
- *Efficiency* - to what extent were inputs purchased and activities implemented in an efficient manner? Was the response timely, and were activities completed without undue delay?
- *Gender* - describe how the project harnessed and developed the capacities, and addressed the different needs, interests and vulnerabilities of affected women and men, girls and boys.
- *Participation* - to what extent were beneficiaries and local delivery partners involved in decision making related to the design, delivery and monitoring of the project?
- *Coordination* - to what extent were project efforts coordinated with the work of other groups in the area and with relevant multi-stakeholder policy and agreements?

- *Innovation and Creativity* - describe any new or innovative ideas or approaches that the project explored or implemented to achieve its expected results.
- *Appropriate Human Resource Use* - to what extent were suitable human resources used and used well?

6. Withdrawal and Transfer

- Explains how the implementor has continued to work in the area or withdrawn with the completion of the project.
- Details, if applicable, the transfer of project assets and staff.
- Explains how project efforts are connected to broader and longer-term efforts to address the humanitarian crisis and provide more sustainable solutions.

7. Financial Information

7.1 Actual Versus Planned Income and Expenditures (see Annex F for more detail)

- Links planned activities to actual disbursements.
- Uses table(s) and refers to original budget item lines.
- Compares approved budget to actual disbursements up to the end of the approved project implementation period.
- Separate line items are used to show field administrative and overhead costs.
- Can additionally refer to activity numbers from a WBS if used.

7.2 Narrative explanation of variance

- Explains any significant disbursement anomalies or variance and links these to the implementation, or not, of activities.
- Comments on adequacy of original budget estimates.
- Comments on fund-raising (where applicable).
- Calculates any exchange rate gain or loss, and any interest earned.

8. Lessons Learned

- Recaps most significant risk mitigation and risk management strategies applied.
- Identifies those positive aspects that should be replicated and negative aspects that should be avoided in the future.
- Includes recommendations for changes in relief operations based on project experience.
- Recommends possible changes in your relationship to the IHA program

Annex A - Using a Performance Framework

A results-based logic model, commonly referred to by CIDA as a Performance Framework (PF), is a recommended tool for project design, implementation, monitoring, and reporting and will normally be expected as part of any proposal that the IHA program considers.

A PF can graphically illustrate the internal logic of a project. This logic is based on a sequence of cause and effect relationships perceived to exist between the investment of resources, the subsequent production of outputs (humanitarian services), the achievement of medium-term outcomes, and the possible contribution to long-term sustainable impact. The outcomes - actual, measurable changes in human condition - are understood as a logical consequence of output use by the beneficiaries. The PF will encourage project implementors to ask and answer key questions about the project: why is it being done, what are the specific results expected, who will the project work with and for, and how will the results be achieved. The PF can serve as a delivery model for the project with the key results commitments providing a basis for monitoring and accountability.

The following definitions are provided to assist proposal writing teams in developing a PF. The definitions are followed by a typical PF (see Exhibit A.1 below) for illustrative purposes.

Resources - The financial and in-kind contributions that will be invested in the project by key stakeholders to purchase or mobilize the required organizational, human, intellectual and/or physical resources for the purpose of undertaking a project activity.

Activities - Any administrative, management, or implementation process, operation or action taken to transform a combination of inputs into outputs.

Outputs - The humanitarian relief goods or services produced as a logical consequence of well managed project activities and targeted for intended beneficiaries. Each proposal should select output statements that are directly relevant to one or more of the IHA program's seven expected outputs.

Outcomes - The logical consequences of output utilization within the life of the project by intended beneficiaries. Depending on external project circumstance, these can be distinguished as intermediate, contributing eventually to a longer term sustainable impact. Or they can be ultimate, with little or no expectation of sustainability beyond the life of the project. Each proposal should have outcome statement(s) that are directly relevant to one or more of the IHA program's three expected outcomes.

Impact - The high level and longer-term sustainable change in human condition to which outcome achievement may be able to contribute. Each proposal should be designed with an impact statement directly relevant to the IHA program's expected impact.

Intended Beneficiaries - The individuals, groups of individuals, or organizations who are expected to use the outputs produced by the program, for example, male and female refugees,

displaced people, and local delivery partners.

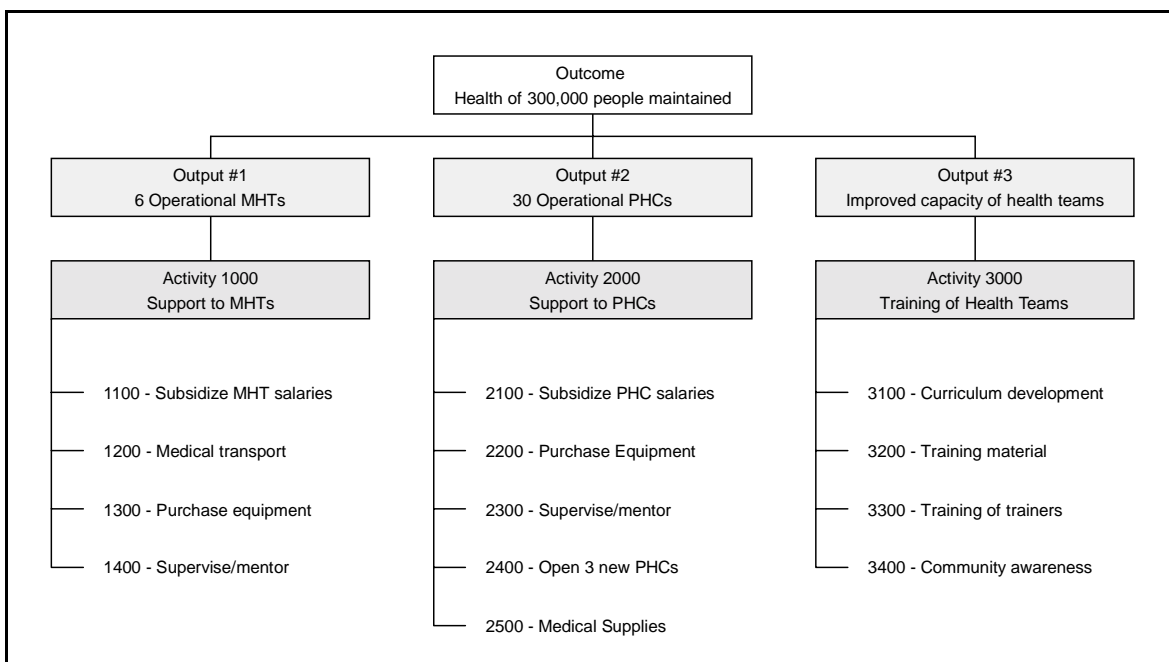
Exhibit A.1 - Sample Performance Framework					
Project Title - Medical Assistance in the Conflict Regions of Sri Lanka Through the Sri Lanka Red Cross Society (SLRCS)					
Project Goal - To improve primary health care for conflict affected families in Vanni region					
How How should the expected results be achieved?		Who Who will the project work with and for?	What What specific, measurable results are expected to be achieved?		Why Why do this project?
Resources	Activities	Beneficiaries	Outputs	Outcome	Impact
\$1M IHA program	① Support and supervise six mobile health teams (MHTs)	300,000 Displaced people and permanent residents in Vanni region Sri Lanka Red Cross Society program and volunteer staff	① Six operational MHTs	Health of 300,000 conflict affected people in Vanni region maintained	Basic human needs of conflict affected communities in Sri Lanka are met
\$50,000 ICRC	② Support and supervise 27 established and 3 new primary health care centres (PHCs)		② Thirty operational PHCs		
\$100,000 Canadian Red Cross	③ Develop curriculum and train MHT and PHC personnel and SLRC volunteers		③ Improved capacity of SLRC health teams to deliver quality primary health care		

Note that for this project, the “why” is answered primarily by the expected outcome. In the context of a conflict situation, and extremely difficult, unpredictable working conditions, maintaining the precarious health of the targeted beneficiaries is sufficient reason from a humanitarian perspective for Canada to act.

Annex B - The WBS and Activity Sheets

A Work Breakdown Structure (WBS) is a well established tool to help define and manage project scope. When sets of similar activities or packets of work are related to key expected results, the WBS can be used to strengthen results-based management. The WBS is a results-oriented family tree that relates elements of work to each other and to the expected output(s). A sample WBS for our Sri Lanka project case study is included below in Exhibit B.1. Note that the WBS can be broken down into higher or lower levels of detail depending on the complexities of the project proposal and the information available. Whenever possible key stakeholders, including targeted beneficiaries, should be involved in developing the WBS.

Exhibit B.1 - Sample WBS for Case Study



While the WBS shows the logical structure of the work to be done, an Activity Sheet provides a detailed rationale and implementation plan for each set of related activities. Normally you would produce one Activity Sheet per grouping of related activities as part of your proposal. The Activity Sheets provide the detailed work plan for the project and answer the question “how will we achieve the desired results expected from this project.” A sample Activity Sheet for our case study is included as Exhibit B.2.

Exhibit B.2 - Case Study - Sample Activity Sheet

Activity Set 1000 - Support and supervise six mobile health teams (MHTs)
Expected Output #1 - Six Operational MHTs
<p>Narrative Description and Strategy Existing Sri Lanka Red Cross Society (SLRCS) MHTs will be supported to make sure they remain mobilized and effective. A project coordinator and CRC Delegate will work with six existing teams to provide medical supplies, logistics, and management support.</p> <p>1100 - Subsidize MHT salaries - To motivate the MHTs to work despite the difficult conflict situation, the project will subsidize insufficient existing salaries of team doctors and staff.</p> <p>1200 - Medical transport - Existing vehicles are old and constantly out of service. Five new vehicles will be purchased as well as a basic stock of spare parts. A maintenance schedule will be enforced and drivers re-trained.</p> <p>1300 - Purchase Equipment and Supplies - A limited budget will be made available to purchase critical pieces of equipment so that the MHTs can be effective. This will include items such as weigh-scales, calculators, note books, and work boots.</p> <p>1400 - Supervise/mentor - Two CRC Health Delegates will provide daily project administrative and technical support to assure that the MHTs are mobilized and effective.</p>
<p>Expected Issues and Risks</p> <ul style="list-style-type: none"> • Approval and administrative clearance from the Ministry of Defence for the new vehicles and other equipment will be slow and require ICRC intervention. • The insecure, unsettled working conditions and isolation will be a constant challenge for the CHC Delegates.
<p>Key Inputs Required</p> <ul style="list-style-type: none"> • Local doctors and other MHT medical personnel to maintain 6 complete teams. • 5 new vehicles and small amounts of equipment and supplies. • 2 CRC Delegates willing and able to work in the conflict area.
<p>Budget Required - \$337,160 1100 - \$75,220 (salaries) 1200 - \$189,595 (vehicles, fuel, insurance, maintenance) 1300 - \$15,300 (equipment and supplies) 1400 - \$57,045 (one-third of total person days from two Health Delegates)</p>

Annex C - Performance Measurement Plan

Evidence-based performance monitoring allows us to answer the question: “are we achieving the results expected, and reaching targeted beneficiaries, at a reasonable cost?” Including a plan to measure performance is a mandatory part of the project proposal process. Key indicators and performance targets can help monitor project initiatives and collect objective and credible information for the project report and to support learning. Reliable baseline information will be required for some indicators. Performance measurement should be customized to respond to the information needs of project managers and key stakeholders. Whenever possible, stakeholders should be involved in the selection of indicators and collection of performance information.

Your proposal should explain the major pieces of your project’s monitoring system. If baselines and performance targets are not clear at the time that a proposal is being submitted, the implementing partner should make a clear commitment to clarify this information as part of the project launch. We suggest that the main components of the performance measurement plan be organized in a matrix as illustrated in Exhibit C.1 below, using a case study sample.

Exhibit C.1 - Case Study Sample of a Performance Measurement Plan

Expected Output: Six operational mobile health teams (MHTs)			
Targeted Indicator	Data Source	Data Collection Method	Responsibility
1) Six MHTs operational in the area of conflict	MHTs	The teams will develop a list of criteria to determine three levels of being “operational”: non-operational, partially operational, or fully operational. At monthly staff meetings, the MHTs will rate the number of days that month that their team was partially or fully operational using these predetermined criteria.	Sri Lanka Red Cross Society (SLRCS) with assistance from Canadian Red Cross Delegate
2) 17,000 patients provided with health care by the MHTs	MHT patient visit records	These are existing records that are maintained by the MHTs as they do their rounds. The Team Leaders will post monthly totals on a simple cumulative record sheet posted at the Project Coordination Office.	MHT Team Leaders monitored by the Head of the SLRCS local Branch office

In addition to ongoing monitoring, you may wish to carry out an evaluation of your project, in line with your agency’s internal learning and accountability policy or practice. Or you may wish to include your project as part of a program, sector, or post-emergency review or evaluation. In this case, IHA may be willing to offset some of you evaluation costs (see notes in Annex D). CIDA and the IHA Division reserve the right to conduct independent evaluations of IHA-supported projects, whether individually or as part of larger reviews.

Annex D - The Project Budget

A sample format for a project budget is presented below as Exhibit D.1. Note that applicants are not limited to the line items presented. Line items should be itemized further when appropriate so that costs are transparent and easy to understand.

Exhibit D.1 - Sample Budget by Approved Budget Item Line				
Budget Line Item	CIDA IHA Contribution	Partner Contribution	Other Donors	Total
1) Personnel				
2) Transportation				
3) Supplies				
4) Materials and equipment				
5) Monitoring and evaluation				
6) Local admin costs				
7) Headquarter's admin costs				
TOTALS				

Overhead Costs for Implementing Partner's Headquarters

The IHA program will approve a *headquarter's office administration costs* budget line. This item can be as high as 7.5 % of the total field cost of delivering a project, including local field administration costs. For example, in Exhibit D.1, budget line item 7) could be up to 7.5% of the total of line items 1) through 6).

IHA will not cover separate monitoring costs incurred by headquarters. We will cover, under line item 5), reasonable field monitoring costs in designing and implementing the Performance Measurement Plan as set out in Annex C. These local monitoring costs, if exceeding 3% of the overall field cost of delivering the project, must be justified in relationship to the results expected.

As set out in Annex C, agencies may wish to carry out evaluations of their proposed projects, once completed, to encourage further learning and accountability. In such cases, and especially where ongoing monitoring of progress during the project is difficult for lack of baselines or other reasons, we may be prepared to share up to 50% of the cost of the evaluation. This requires agencies seeking input from IHA into the Terms of Reference for the evaluation. The approved Terms of Reference must instruct the evaluation team to send a duplicate copy of the completed evaluation report directly to IHA.

Linking Costs to Activities and Expected Outputs

An additional budget format is presented in Exhibit D.2. It seeks to ascribe, to the extent possible, expenditures by the particular activities approved as part of the Performance Framework. Though use of this budget presentation is encouraged by IHA, it is not a mandatory reporting requirement. It should be completed only if practical and if the implementing partner has used a WBS and an activity-based financial accounting approach during the implementation of the project. The format presented in Exhibit D.2 makes it easier for the implementing partner and for CIDA to understand how expenditures are related to the results achieved by the project.

Exhibit D.2 - Sample Operations Budget by Approved Activity				
Activity	CIDA IHA Contribution	Partner Contribution	Other Donors	Total
1000				
2000				
3000				
4000				
etc.				
TOTALS				

Annex E - Case Study - Sample Performance Table

(Note that normally each of the outputs and outcomes presented as part of the approved Performance Framework would get their own individual Performance Table)

Expected Result - Output #1 - Six operational mobile health teams (MHTs)	
<p>Performance Indicators (The indicators used to measure the project’s progress in achieving the above result. They represent the performance targets for the project)</p>	<p>Actual Result and Comments (The actual result achieved as evidenced by the adjacent performance indicators. This is a comparison of performance against original expectations).</p>
<p>Indicator #1 - Number of Mobile Health Teams operational in the area of conflict</p>	<ul style="list-style-type: none"> - The project succeeded in keeping the targeted MHTs operational by replacing and maintaining 6 vehicles, providing monthly salaries to a doctor and staff, providing priority medical supplies, and working directly with team leaders. Based on criteria developed by staff and monthly self-assessment, none of the teams succeeded in becoming consistently “fully operational” because of a range of security, staffing, and equipment problems. However, all teams were at least partially operational most of the time providing priority planned services. - On average the MHTs provided health care to 19,250 patients per month during the reporting period. This compared to an average of 18,000 patients recorded in the previous year.
<p>Indicator #2 - Number of patients provided with primary health care by the MHTs are maintained</p>	
<p>Beneficiaries The Sri Lanka Red Cross Society (SLRCS), which directly manages the MHTs, benefited from capacity development. The six MHTs included 6 male doctors and 36 local volunteers, most of them women. Roughly 300,000 people living in Vanni, many of them Tamils displaced from Jaffa since 1995, have benefited from access to the MHTs on an as-needed basis.</p>	
<p>Assumptions and Risk Mitigation (Problems encountered due to critical assumptions not holding true, and actions taken to assure results were achieved are presented here) Stability in the area was for the most part maintained, with frontiers open and the population settled. The project worked within the ICRC context. In Vanni, there is respect for the Red Cross emblem and principles of the Movement. This gave the MHTs space to operate. In the event of restrictions placed on accessibility, the ICRC and SLRCS negotiated passage on the team’s behalf. This made it easier for people to access the MHTs. The CRC Delegate was well briefed by ICRC and followed ICRC security rules and procedures.</p>	

Annex F - Financial Statement

Exhibit F.1 - Sample Financial Statement for Case Study				
Budget Item Line	Approved Budget	Actual Disbursement	Percent Variance	Explanation of Significant Variance (Only if greater than 10%)
1) Personnel				
2) Transportation				
3) Supplies				
4) Materials and equipment				
5) Monitoring and evaluation				
6) Local admin costs				
7) Headquarter's admin costs				
TOTALS				

APPENDIX 1 – Rapid-onset natural disasters and timely support for Canadian NGOs

CIDA’s Humanitarian Assistance, Peace and Security Division (HAPS) recognizes the important role that Canadian NGOs play in responding to disasters overseas and the need to provide timely support.

In order to enhance the timeliness of CIDA’s support to Canadian NGOs, HAPS will accept an abridged proposal format from eligible Canadian NGOs who have qualified to use this format.

NGOs with the most operational capacity will be invited to join the Canadian Humanitarian Partnership (CHP). The CHP is a voluntary network of NGOs partnering with CIDA in order to provide assessment, analysis, and responses to rapid onset disasters.

Note: This is not intended to be a framework or cooperation agreement nor is either the abridged proposal format or the CHP program funding. Both are responsive mechanisms and HAPS will continue to evaluate proposals based on their perceived contribution to an appropriate, timely, and effective response. HAPS will also continue to retain the full suite of response options. Receiving funding through either approach described here does not preclude the organization from seeking additional sources of response funding from HAPS or CIDA’s bilateral programs, in the event that such additional programming funding becomes available. It does not preclude other NGOs from receiving financial support put through long proposal format.

1. Abridged Proposals

Eligibility

The existing requirements for IHA funding still apply to the Abridged Proposals. In addition, organizations must demonstrate:

- Organizational capacity for humanitarian response, especially for rapid onset disasters:
 1. Track record of effective programming with HAPS’s International Humanitarian Assistance Unit or Natural Disaster Response Unit,
 2. Membership in a humanitarian NGO network such as PAGER (peer review is positively viewed),
 3. Breadth and scope of experience in terms of humanitarian response,
 4. In-house capacity to monitor, design and implement humanitarian response.

- ❑ Adherence to the Red Cross Code of Conduct for disaster response; this can be demonstrated through organizational policies, evaluations, staff codes of conduct;
- ❑ Aspiration to SPHERE or similarly recognized international standards; this can be demonstrated through organizational policies, operational guidelines/manuals, staff training, having contributed to the development of SPHERE
- ❑ Organizational codes of conducts consistent with the core principles in the IASC Plan of action on Protection Against Sexual Exploitation;
- ❑ Monitoring and Evaluation policy and a proven track record of use of M&E in enhancing natural disaster response activities;
- ❑ Gender Equality policy and a description of its use and implementation in Emergencies;
- ❑ Sustainability and the management of environmental resources in emergency policy and a description of its use and implementation;
- ❑ Coordination track record in the field, which reflects an understanding of the IASC cluster approach;
- ❑ Consultation, participation and capacity building in emergencies policy and/or experience;
- ❑ Be considered a low financial risk as determined by CIDA's financial risk assessment unit.

Several of these due diligence requirements will be reviewed once every three years to ensure that organizations deemed eligible maintain their implementation capacity.

Format for Abridged Proposal

The format presented below is consistent with the results-based long format. It has been simplified to reflect the upfront due diligence process and the fact that activities funded will be simple, straightforward relief. Proposals submitted must still contribute to IHA's performance framework. The abridged format will be accepted only for the early relief stages of a response. This period will be the first two weeks. CIDA will notify eligible NGOs of changes on a case-by-case basis.

A. Background

- Nature of the disaster
- Nature of the humanitarian impact known to date and projected evolution
- Information on beneficiaries known to date and forecast

B. Implementing Agency Capacity

Capacity statement of the organization to respond to the context. This may include but not be restricted to the following:

On-the-Ground Projects: Existing projects in the area with relief capacity.

Local Partners: Established links with sister organization or other/local NGOs in the target country. This may be by being part of an international federation, partnership or network, or through formal partnership agreements with local partners.

Rapid Response Teams: Teams that can deploy and establish programs within hours of a disaster.




C. Performance Framework					
Project Title -					
Project Goal -					
How?		Who?	What?		Why?
Resources	Activities	Beneficiaries	Outputs	Outcome	Impact

D. Budget by Item Line				
Budget Line Item	CIDA IHA Contribution	Partner Contribution	Other Donors	Total
1) Personnel				
2) Transportation				
3) Supplies				
4) Materials and equipment				
5) Monitoring and evaluation				
6) Local admin costs				
7) Headquarters' admin costs (7.5 percent of direct cost)				
Totals				

Submitting an Application for Eligibility to use the Abridged Proposal

Canadian NGOs are welcome to apply for eligibility at their convenience and HAPS will aim to inform organizations as to the success of their application in a timely manner. However, eligibility requests will not be addressed during a major disaster response given the priority accorded to direct response activities by the HAPS team.

No specific format is required for applications for eligibility, but the application package that is submitted must substantially demonstrate all the criteria listed in section 1 above. Applications for eligibility should be submitted in hard copy to:

	Manager Natural Disaster Response and NGO Relations Unit, Humanitarian Assistance, Peace and Security Division, Multilateral Programs Branch Canadian International Development Agency 200 Promenade du Portage Hull, Quebec Canada, K1A 0G4
	Phone : (819) 994-3945 Fax : (819) 997-2637
	E-mail : disasters@acdi-cida.gc.ca catastrophesnaturelles@acdi-cida.gc.ca

2. Canadian Humanitarian Partnership (CHP)

The Canadian Humanitarian Partnership (CHP) was established to ensure coordinated and timely NGO responses to disasters abroad. Members engage in sharing alerts, assessment information, and response to rapid onset disasters.

Selection Criteria

HAPS will review NGOs eligible to use the abridged format and invite participation in the CHP. The selection criteria for inclusion would consider the following:

- All of the criteria required to be eligible to use the abridged proposal format;
- The capacity to provide “templated responses”;
- The ability to tie-in responses with a Cluster Leader as identified by the Inter-Agency Standing Committee;

- ❑ Track record of emergency response with IHA as demonstrated through global alert notification and high quality information/analysis sharing with CIDA and success in receiving early funding;
- ❑ Demonstrated in-Canada capacity and track record deploying effective and appropriate assistance from Canada;
- ❑ Commitment to coordinate with HAPS and other members of the CHP in joint information sharing and analysis;
- ❑ Commitment to joint communication activities; including, where appropriate, joint news conferences, joint press releases, joint technical briefings, and other such activities.