

**Resilient Economies and a Secure Future for SIDS**

**Infrastructure for Resilient Island States (IRIS)**

**2nd Call for Proposals:** Climate Action, Mainstreaming Resilience and Strengthening Data for Resilient and Inclusive Infrastructure

**GUIDANCE NOTE & WORKBOOK**

**FOR PROJECT PROPOSAL DEVELOPMENT**

This guidance note and workbook is to support applicants for the project proposal development under the IRIS/SIDS funding window of the Infrastructure Resilience Accelerator Fund (IRAF) to support disaster resilient infrastructure (DRI) in Small Island Developing States (SIDS).

This guidance note and workbook is complemented by the IRAF FMP Help Guide which is a step-by-step guide to support applicants to upload their project proposal in the IRAF Fund Management Platform (FMP). It should be noted that only project proposals submitted through the FMP will be considered eligible. ***The Fund Management Unit (FMU) will NOT accept project proposals submitted via email.***

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| GENERAL INFORMATION |
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| Project Title |
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| Brief Description of the Project [*Word Limit:300 words*] |
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| Contacts  |
| The focal points of the proposed project from the Government and Participating Organisation should be listed here. ***Focal Points from the Government:***Strategic Focal Point: Official at a decision-making level who would be the signatory of the project. Example: Minister of the concerned Ministry Technical Focal Point: Official at an operation/implementation level. Example: Director of a Department or Head of a Division***Focal Points from the Participating Organisation:***Strategic Focal Point: Personnel at a decision-making level. Example: Chief of Programs, Regional Head, Head of Department/DivisionTechnical Focal Point: Project Manager of the proposed project |
| **Focal Points from the Government** |
| Strategic Focal Point |  | Technical Focal Point |
| Name  |  | Name  |  |
| Designation |  | Designation |  |
| Organisation |  | Organisation |  |
| Email |  | Email |  |
| Telephone |  | Telephone |  |
|  |
| **Focal Points from Participating Organisation** |
| Strategic Focal Point |  | Technical Focal Point |
| Name  |  |  | Name  |  |
| Designation |  |  | Designation |  |
| Organisation |  |  | Organisation |  |
| Email |  |  | Email |  |
| Telephone |  |  | Telephone |  |

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| Fund Specific Markers |
| Refer to the Call for Proposal document for more details on the Thematic Scope (Section 2.2.2) and Sectors in Focus (Section 2.2.3). Mark the themes and sectors for relevant for the proposed project. |
| **Thematic Scope** |
| [ ]  Policies and Regulatory Frameworks | [ ]  Resource Mobilisation |
| [ ]  Project Preparation | [ ]  Strengthening Data |
| [ ]  Capacities for Implementation & Management  |  |
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| **Sectors in Focus**  |
| [ ]  Transport | [ ]  Power |
| [ ]  Telecommunication | [ ]  Water[[1]](#footnote-1) |
| [ ]  Health and Education[[2]](#footnote-2) |  |

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| Geographical Scope |
| Under scope select 1. Global/interregional (several countries from different regions)
2. Regional/multi-country (at least 3 SIDS in a region)
3. Country (single country project)
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| Scope | [ ] Global/interregional [ ]  Regional/Multi-country [ ]  Country  |
| Region (s) | [ ] Pacific [ ]  Caribbean [ ]  Atlantic, Indian Ocean & South China Sea (AIS) |
| Country Name(s) |  |
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| Programme and Project Cost  |
| The total cost of the proposed project should be provided in USD. ***Budget Requested:*** It is the total budget requested under the IRIS 2nd call for proposals.***Other Source of Funding (if any):*** It is the existing/ planned budget available from other sources like co-financing from government, participating organisation, IFIs, ongoing projects, etc. Enter the details of the other source of funding in the column description.***Total Project Cost:*** Sum of budget requested under IRIS 2nd Call for proposal and other source of funding. |
| **Budget Details** | **Amount [USD]** | **Description** |
| Budget Requested |  |  |
| Other Source of Funding *(if any)* |  |  |
| Total Project Cost  |  |  |
| **Tranches** |
| The transfer of funds to the Participating Organization will be made in three tranches: a first tranche of 20%, a second tranche of 50% and a third tranche of 30%. Calculate the tranches accordingly and enter the value for each tranche below. |
| Tranche 1 (20%) | Tranche 2 (50%) | Tranche 3 (30%) |
| ….. USD | …. USD | ….. USD |
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| Project Duration |
| The proposed project start date is 01-March-2025. Provide the total duration of the project in months (between 18 and 24 months) and accordingly calculate the end date of the project. |
| Proposed Start Date | DD-MM-YYYY |
| Duration (in months) |  |
| Proposed End Date | DD-MM-YYYY |

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| NARRATIVES |
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| Mission & Mandate [*Word Limit: 250*] |
| Introduce the participating organisation’s general mandate and/or mission statement. |
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| Geographical Coverage [*Word Limit:500*] |
| List the countries where your organisation has worked/supported resilient and inclusive infrastructure in the last 5 years. Indicate if you have a regional/country office or a duly registered local partner (as part of the consortium) in the region/country of the proposed project. |
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| Thematic Expertise Relevant to the Project [*Word Limit:500*] |
| Provide a brief overview of your organization’s experience in working in resilient and inclusive infrastructure. List projects implemented in the last 5 years relevant to the theme/sector/geographic scope of the proposed project in table below |
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| No. | Project Title | Description | Region/Country | Funded by/Client | Budget [USD] |
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| Human Resources [*Word Limit:500*] |
| Indicate number of technical experts (gender segregated) currently employed by your organization and their respective field of expertise in relation to the proposed project and the countries they are based. One-pager CV of at least 5 key resources (technical and non-technical) that would be associated with this project for back-stopping or troubleshooting should be uploaded in the FMP. |
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| Portfolio Analysis [*Word Limit: 500*] |
| The participating organisation should have significant experience and capacities implementing projects of similar scale and magnitude. Indicate what is the current size of your organization portfolio (USD) and number of similar projects managed over the last 5 years. |
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| Project Justification: Need Assessment and Rationale *[Word Limit: 500*] |
| Summarize relevant background information for your project, country context, including a vulnerability analysis in relation to infrastructure systems and exposure to climate and disaster risks. Through a comprehensive gap analysis or needs assessment supported by credible data and evidence (appropriately cited) illustrate the rationale for the project. For example, data demonstrating the magnitude of the problem and how it affects different population groups (especially women and men, girls and boys, people living with disabilities, minority, and other population groups that have specific vulnerabilities). Reflect on lessons learnt and good practices derived from previous experiences in the region or globally for similar projects, preferably in Small Island Developing States (when relevant). |
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| Project Goal [*Word Limit: 100]*  |
| Basis the project justification, define the goal of the project in this section.To quote an example-“To strengthen the adaptive capacity and reduce exposure to extreme weather events of vulnerable communities by developing sustainable and integrated water supply infrastructure system.”  |
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| Project Objectives [*Word Limit: 250]*  |
| Define the project objectives in alignment with project goal. It is suggested to have not more than 4 project objectives. Examples for project objectives below: a) To assess the vulnerability of the existing water supply infrastructure systems b) To develop a strategic plan for sustainable and integrated water supply infrastructure system c) To strengthen the institutional capacity to design and deliver sustainable and integrated water supply infrastructure system.  |
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| Key Deliverables [*Word Limit: 250*] |
| List down the key deliverables to achieve the project objectives. It is suggested to have not more than 3-5 key deliverables for the project. Examples for key deliverables below:1. Vulnerability assessment report of the existing water supply infrastructure systems
2. Strategic Plan for sustainable and integrated water supply infrastructure system
3. Need assessment report on institutional capacity building for design and delivery of sustainable and integrated water supply infrastructure systems.
4. Training modules for utility engineers on design & management of sustainable and integrated water supply infrastructure
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| Approach and Methodology [*Word Limit: 1000*] |
| Approach and methodology should be detailed out in line with the project goal, objectives, and key deliverables. Methodology should be technically sound and should be illustrated graphically. For example – if the objective is to create a statistically viable data set for access to basic services, in the approach and methodology describe the rationale for sample size and if it is statistically significant or not, indicate the sampling methods used and assumptions and errors, software used for data management and analysis, etc. Another example – if the objective is to develop a strategic plan for sustainable and integrated water supply infrastructure system, in the approach and methodology, describe stakeholder mapping and stakeholder groups and consultations methods, feedback and review mechanisms being followed for consultations, constitution and composition of a steering committee for review and approval, mechanisms for peer review, procedure for endorsement from the government, etc. |
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| Expected Impacts [*Word Limit: 500*] |
| In line with the project goal, describe the expected impact/impacts (direct and indirect) in terms of the beneficiary population size (disaggregated data) and/or amount of infrastructure investments that could be leveraged through the project. |
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| Alignment/Complementarity with Global, Regional & National Commitments [*Word Limit: 500*] |
| The proposed project should demonstrate alignment with international commitments, global frameworks, regional and national priorities and long-term vision for disaster and climate resilient infrastructure such as Sustainable Development Goals (SDGs), Sendai Antigua & Barbuda Agenda for SIDS (ABAS) etc. |
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| Contribution to Sendai Framework for Disaster Risk Reduction[*Word Limit: 500*] |
| Describe how the proposed project contributes to the Sendai Framework for Disaster Risk Reduction targets. Select at least one relevant Sendai targets towards which your project will contribute. For example. Target D: Substantially reduce disaster damage to critical infrastructure and disruption of basic services, among them health and educational facilities, including through developing their resilience by 2030. Target G: Substantially increase the availability of and access to multi-hazard early warning systems and disaster risk information and assessments to people by 2030 |
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| Gender Equality Social Inclusion (GESI) Plan [*Word Limit: 500*] |
| In this section, one should describe how the gender, equality, disability, and social inclusion is being appropriately mainstreamed in the proposed project. The project outputs should have GESI indicators as applicable.The project should aim to consider including gender equality and social inclusion considerations such as: * Promoting the use of disaggregated data (e.g. sex, age, disability, mobility) on user needs to promote informed decisions in infrastructure planning and delivery, operations, and maintenance.
* Promoting policy provisions to ensure participatory approaches and meaningful participation of women and marginalized groups in all stages of infrastructure development to ensure equitable benefits of infrastructure services.
* Promoting infrastructure systems user feedback mechanisms.
* Ensuring that infrastructure design standards comply with principles such as universal design to increase accessibility for people of all sizes, abilities, and languages.
* Including gender equality and social inclusion in capacity building activities to increase stakeholders’ awareness and sensitivity to the needs and demands of different population groups.

Inclusive infrastructure is defined as infrastructure development that considers the diverse needs of different population groups, especially the most marginalized, including women and girls, considering them both as users and as contributors. A vulnerable group can be defined as a “population within a country that has specific characteristics that make it at a higher risk of needing humanitarian assistance than others or being excluded from financial and social services[[3]](#footnote-3)”. The assessment of social vulnerability and the identification of vulnerable groups must be context specific, also considering geographical disparities within the country (a group can be vulnerable in one part of the country).  |
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| Sustainability Strategy [*Word Limit: 500*] |
| Describe the project approach to ensure national ownership, uptake of project results and deliverables, and lasting impact after the project completion. Elaborate on the strategy to engage country and regional public and private stakeholders. The intended beneficiaries of the project outputs (government, private sector, community, organization) must have a direct stake and sense of ownership at all stages of the project from design to implementation and thereafter. Sustainability considerations will vary according to country/regional context but often include: i) Identifying and engaging with the right stakeholders (decision makers, owners, institutions, financing mechanisms, direct beneficiaries); ii) Engaging key stakeholders in the project design and implementation using co-design and co-production approaches and participatory decision making, iii) Support learning and capacity building; v) Use existing national/regional systems, vi) Communication plan and budget to ensure transparency and accountability for results and proper dissemination of project deliverables.  |
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| Project Implementation [Word Limit: 500] |
| Describe the management structure of your project, stakeholder coordination arrangements, partners in execution, monitoring arrangements. List down in the table the identified key stakeholder and briefly describe their role & responsibilities and the projects outputs where they would be the main contributor. |
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| No. | Key Stakeholder | Role & Responsibilities |
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| Project Timeline [Word Limit: 500] |
| The project timeline should be provided against the output and activities indicating key milestones from inception phase to project closure. A Gantt chart (in excel) should be uploaded in the FMP. |
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| Project Procurement Plan |
| If there is procurement for a value for more than USD 100,000, a procurement plan is required, and process used to identify the service provider. Please note, that IRAF will not support the construction, refurbishment, operation and maintenance of physical infrastructure assets and the funds cannot be used for the procurement of goods as a primary purpose. The procurement plan has to uploaded in the FMP  |
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| RESULTS BASED MATRIX (RBM) |
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| Project Results Framework |
| The Results Based Matrix (project results framework) should define the outcome, outputs, and activities for the proposed project. It is suggested to have only one project outcome and up to three- four outputs against it and against each output, activities be listed. |
| **Outcome** | **Output** | **Activities** |
| 1. | 1.1 | 1.1.11.1.2 |
|  | 1.2 | 1.2.11.2.21.2.3 |
|  | 1.3 | 1.3.11.3.2 |
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| Project Indicators |
| For monitoring evaluation and learning (MEL) purposes, each output should have project indicators that are measurable and verifiable. |
| **Project Outputs** | **Indicators** | **Baseline** | **Target** | **Frequency of Reporting** | **Means of Verification** |
| 1.1 | 1.2. |  |  |  |  |
| 1.2 | 1.2.3. |  |  |  |  |
| 1.3 | 1. |  |  |  |  |
|  |  |  |  |  |  |

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| RISK MANAGEMENT |
| Identify all known risks that could impact the achievement of results and carrying out planned activities, assess the risk level, and highlight what measures you will take to mitigate the outlined risks. For each risk, provide information on: ***Event:*** Describe what is at risk of happening***Category:*** Social and Environmental, Financial, Operational, Organizational, Political, Regulatory, Strategic (choose at least one)***Level:*** Low, High Medium, High, Very High, n/a (choose one)***Likelihood:*** Rare, Unlikely, Possible, Likely, Very Likely, n/a (choose one)***Impact:*** Insignificant, Minor, Moderate, Major, Extreme, n/a (choose one)***Mitigating Measures:*** Describe steps being taken to mitigate this risk.***Risk Owner:*** List lead Participating Organizations linked to this risk.The risk categories are defined below:* ***Social and Environmental risk***; for instance: unintended impact on communities; lack of compliance with labour laws by local contractors.
* ***Financial risk***; for instance: increase in market prices; inability to mobilize additional parallel funding.
* ***Operational risk***; for instance: supply chain management bottlenecks; delays in procurement of services; difficulty to recruit required expertise.
* ***Organizational risk***; for instance: inadequate organization size or geographical reach; on-going transition in management team.
* ***Political risk***; for instance: upcoming elections; social unrest.
* ***Regulatory risk***; for instance: changes in climate change policies or infrastructure-specific guidelines; changes in access to information law.
* ***Strategic/Programmatic risk***; for instance: flawed assessment of needs; possible change in programme scope; unrealistic timeframe; limited access to information or reliability of data; limited engagement of project stakeholders.
 |
| **No.** | **Event** | **Category** | **Level** | **Likelihood** | **Impact** | **Mitigation Measure** |
| 1. |  |  |  |  |  |  |
| 2. |  |  |  |  |  |  |
| 3. |  |  |  |  |  |  |
| 4. |  |  |  |  |  |  |
| 5. |  |  |  |  |  |  |

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| BUDGET |
| An annexure 1 (excel sheet) has been provided to work out the detailed budget break-up to arrive at the total budget under each UNSDG budget category, which is linked to the Results-based budget (i.e. budget against outputs and activities). Please note this annexure has to be uploaded in the FMP.**In this section, furnish the summaries of i) Results-based Budget and ii) UNSDG Budget arrived from the annexure.** |
| Results-based Budget  |
| **No.** | **Output/Activity** | **Budget [USD]** |
| 1. |  |  |
| 1.1 |  |  |
| 1.2 |  |  |
| 2 |  |  |
| 2.1 |  |  |
| 2.2 |  |  |
| 2.3 |  |  |
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|  |  |  |
|  |  |  |
|  | **Total** |  |
|  |
| UNSDG Budget |
| **No.** | **Budget Line** | **Budget [USD]** |
| 1. | Staff and Other Personnel |  |
| 2. | Supplies, Commodities, Materials |  |
| 3. | Equipment, Vehicles, and Furniture, incl. Depreciation |  |
| 4. | Contractual Services |  |
| 5. | Travel |  |
| 6. | Transfer of Grants to Counterparts |  |
| 7. | General Operating and Other Direct Costs |  |
| 8.  | Sub-Total |  |
| 9. | Indirect Cost (up to 7%) |  |
| **10.**  | **Total**  |  |

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| Checklist of mandatory documents to be uploaded in the FMP  |
| The following list is the mandatory documents to be uploaded in the FMP to support the project proposal. Please ensure the file is label appropriately and uploaded.  |
| No. | Document |  |
| 1. | Endorsement Letter from the Government/s | [ ]  YES [ ]  NO |
| 2. | Budget Summaries and Detailed Break-up (Annexure 1) | [ ]  YES [ ]  NO |
| 3. | CV of Key Resources  | [ ]  YES [ ]  NO |
| 4. | Simple Gantt chart (in Excel). | [ ]  YES [ ]  NO |
| 5. | Procurement plan (only if procurement is above USD 100,000) | [ ]  YES [ ]  NO |
| 6. | HACT micro assessment report (only if your organization has undergone a HACT micro assessment over the past two years) –*only applicable to Non-UN Organizations.*  | [ ]  YES [ ]  NO |
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| If you have any questions on the guidance note and workbook, please write to iris@cdri.world Working hours are Monday to Friday, 9.30 am to 5.30 pm Indian Standard Time (IST) |

1. Project proposal on coastal infrastructure as a sector can check this box [↑](#footnote-ref-1)
2. Project proposal with either health or education as a sector can check this box [↑](#footnote-ref-2)
3. INFORM. Index for Risk Management Concept and Methodology Version 2017 JRC, European Commission [↑](#footnote-ref-3)