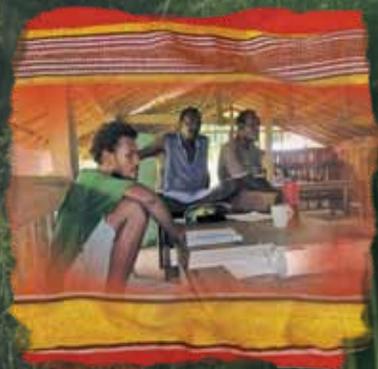


# INSTITUTIONAL FUNDRAISING *for* CONSERVATION PROJECTS

MAAIKE MANTEN  
and  
CAROLINE PRIDHAM







Together for birds and people

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BirdLife International Africa Partnership Secretariat, PO Box 3502, 00100 GPO Nairobi, Kenya

Tel: (+254)-(0)20-2473259 / (+254)-(0)20-8068314; [www.birdlife.org/regional/africa](http://www.birdlife.org/regional/africa)

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The donor agencies that have supported the production of this second, ‘African’ edition are the Conservation Leadership Programme and the Critical Ecosystem Partnership Fund. Many thanks for your contribution to this book, which will be used to develop the project development and fundraising capacities of young individuals and civil society organisations in some of the poorest corners of the world, thus contributing to the achievement of your, and our, objectives: to build sustainable organisations that will protect the world’s unique, but severely threatened biodiversity.

Special thanks go to Martin Davies, Nick Folkard and Lesley Safford of the Royal Society for the Protection of Birds, who provided us with the first materials that formed the basis of this book; to Robyn Dalzen, Kiragu Mwangi and Julie Lewis of the Conservation Leadership Programme for adopting this book as part of their ‘training curriculum’; to Julius Arinaitwe, Ian Gordon and Ken Mwathe at the BirdLife International Africa Partnership Secretariat for enthusiastically contributing to the production of this African edition of the book; to Tim Chamberlain and Paul Ballard at Streamline Creative for their highly professional technical support; and to Fabian Haas for the stunning images.

Last but not least: thanks to all participants in our training programmes who have shown an extraordinary commitment to the protection of nature and the development

of their people. This book is for you and your colleagues all over the world.

***Maike Manten and Caroline Pridham***



# F

## Foreword

The world is currently facing what has been dubbed “a biodiversity crisis” which is demonstrated by, among other indicators, a rate of extinction more than 1000 times higher than the average rates observed throughout the history of life on Earth. Species are disappearing even before they have been discovered. Their habitats are being cleared. Ecosystems are being damaged. And climate change is happening...

However, despite increasing knowledge and growing awareness of this biodiversity loss and numerous conventions, agreements, targets and goals set and signed by the international community, this crisis has yet to be resolved.

The Conservation Leadership Programme (CLP) is a partnership of four conservation organisations – BirdLife International, Conservation International, Fauna & Flora International and the Wildlife Conservation Society – that aims to promote the development of future conservation leaders and provide them with the capacity to address the most significant conservation issues of our time. To achieve this mission, the CLP has the following key objectives:

- Identify, train and mentor future conservation leaders who demonstrate a commitment to conservation and sustainable development;
- Support practical conservation projects that address priority issues, deliver and communicate conservation results and build local capacity; and
- Facilitate a global conservation network to support continued professional development, promote collaboration and ensure long-term sustainability.

Since 1985, the Conservation Leadership Programme has supported and encouraged thousands of young conservation leaders who aim to address global biodiversity priorities at a local level. The CLP has been an important stepping-stone for over 2500 individuals and has helped facilitate the re-discovery or discovery of over 120 species new to science, the designation of 60 sites as new protected areas or important for global biodiversity, the establishment of 23 new NGOs, knowledge sharing and collaboration and the creation of mechanisms for long-term conservation.

An earlier version of this book has been used in CLP (and other) fundraising training workshops around the world. It has proved to be invaluable and has helped young conservationists obtain funding for various CLP and non-CLP funded projects. After “field testing” the manual through workshops in Fiji, Indonesia, Bolivia, Canada and Kenya, we recognised several ways in which it could be improved. This second edition has been informed by this experience and I have no doubt that it will be used even more effectively and widely by a range of stakeholders in the years ahead.



**Robyn Dalzen**  
*Executive Manager*  
*Conservation Leadership Programme*



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## Introduction

### What this guide aims to cover

As conservationists we need no reminder that the world's people are currently facing the largest challenge in human history: to safeguard the planet and its precious biodiversity for current and future generations. Difficult choices need to be made and will become increasingly tougher during this century. Securing larger amounts of funds to protect species, sites, habitats and larger ecosystems is critical. Funding for public education and awareness-raising about environmental issues and for improving policy frameworks is equally necessary.

This book has been developed to provide guidance and support for anyone working in biodiversity conservation to help them secure adequate funding for their projects, programmes and organisations. The focus is on fundraising from 'institutional donors' which is fundraising terminology for trusts and foundations, bilateral agencies (national government funding schemes) and multilateral agencies (funding schemes by multiple countries working together). It does not touch on fundraising from individuals or the business sector, and therefore excludes membership schemes, appeals, corporate sponsorships and other fundraising mechanisms relating to these areas. However, we hope that the tools that are provided in this guide under the four main sections (Project Development, Proposal Writing, Donor Relations and Fundaising Strategies) will prove useful for any form of fundraising.

### What is fundraising?

This may seem like a strange question, but it is asking us to think about things from a different perspective. Fundraising is not about asking for money but about selling an idea. Funding of all kinds is a partnership between the donor and the recipient.

Charitable trusts, foundations and the bilateral and multilateral aid agencies are established to give money away. If you provide them with a good project to fund, you are helping them meet their objectives. However, just as in any other area of life,

securing grants is a very competitive process. This guide will help you to enhance your fundraising efforts in the jungle that is called ‘the donor-recipient market’.

### **How to use this guide**

If you have no experience in project development, fundraising, donor management or developing fundraising strategies then you may wish to follow this guide section by section as it takes you through the process of fundraising step by step. However, each section has also been designed to ‘stand alone’ and can be referred to in isolation to refresh more experienced fundraisers. Sections can also be used as a kind of ‘first aid kit’ – for example, if you are suddenly asked to develop a logical framework and have no experience in doing such a thing.

Each of the guide’s sections starts with a summary of what that section covers and the general principles (the ‘golden rules’) that will help improve your fundraising success in that aspect of fundraising. The sections demonstrate the tools you need and provide practical examples (more examples are included in Appendix 2). Throughout the guide you will also find valuable tips, usually learnt only through years of experience – the ‘golden nuggets’ of fundraising.

This guide is designed to help you develop, write and sell successful projects to save this world’s wonderful biodiversity. We hope it will be useful.

# 1



## Section 1 Project development

*This section aims to guide you through the project development process, from the initial project idea through to a developed project framework that can be used for both funding applications and for project planning. Examples of the various tools and how they link together are found in Appendix 2.*

### General principles of project development

- Ensure that all key stakeholders are involved in the project development process
- Be clear about what problem the project is trying to tackle
- Ensure that the proposed objectives will address the identified problems and that they are realistic and obtainable

### 1.1 Project planning and the project cycle

So what exactly is a project? And what is a programme?

A project is “formed by a group of inter-related activities and results (together with the resources required to achieve them) and is designed to achieve a specific time limited objective” – whereas a programme is “a group of projects, which contribute to the same overall goal”.

A well thought-out project should do the following:

- Achieve the project goal and objectives within a specified timescale
- Ensure that deadlines are met by focusing effort
- Enhance sequencing of tasks to achieve specific objectives
- Simplify the overall management process
- Permit efficient allocation of resources
- Deliver discrete pieces of work
- Help bridge across organisational boundaries by getting different organisations to work towards a common goal

- Aim to be sustainable, that is, when the project finishes you should not be back at where you started and there should be a mechanism that allows some of the results / outputs / benefits to continue.

### **Project planning**

To ensure that any project undertaken achieves everything listed above, a good project plan is essential. Project planning is also critical to ensure that there is:

- Identification and full engagement of all stakeholders through a stakeholder analysis
- A realistic assessment of the current situation (problem analysis and SWOT analysis)
- Realistic objective-setting to reach the desired situation
- Enough money and capacity to reach the desired situation
- Effective resource allocation

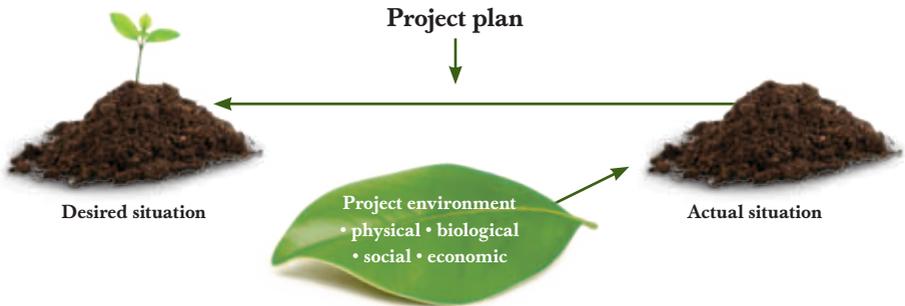
A good project plan looks at what the current situation is for all involved parties, and includes an assessment of physical, biological, social and economic factors. It also looks carefully at what the desired situation is (see Figure 1 opposite). The desired situation may well be fundamentally different for different stakeholders. This is why it is so important to involve all stakeholders (see section 1.2 for details on stakeholder analysis) in the project planning process, so that any differences can be discussed and if necessary, compromises can be found and the project will be designed accordingly.

Although this section focuses on developing an effective project plan, it seems sensible to do a quick review of the ‘project cycle’ (see Figure 2 opposite). The project cycle involves all phases of a project, including project planning, implementation, monitoring, review and evaluation.

Project monitoring is particularly critical because it ensures that the project stays on track and checks that the project is meeting the objectives that were set in the project design. If objectives are not being met, action can be taken to remedy this. Monitoring also provides an opportunity to review the environment that the project is working in and determine if external or internal circumstances have changed and whether the initial project objectives are all still appropriate.

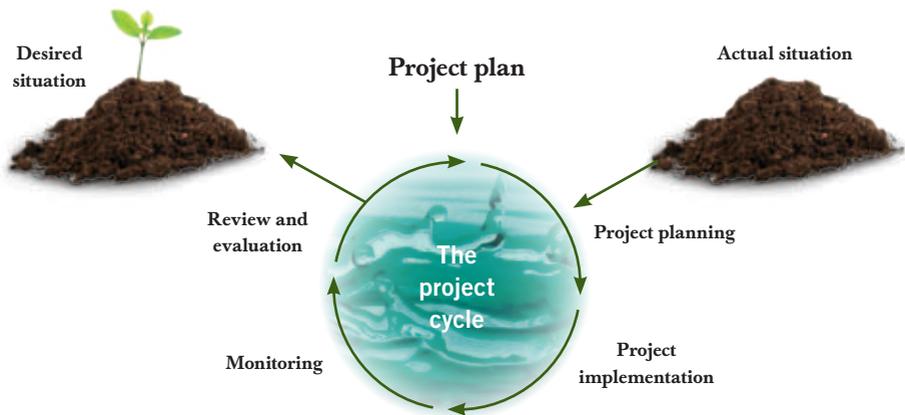
Project evaluation is equally important because it provides an opportunity to learn lessons about what has worked, what has failed, and why this has happened, and demonstrates how future projects can be improved accordingly.

**Figure 1: Project planning**



Theoretically there should be a continuous feedback loop of learning through one's (and others') mistakes and these lessons should be fed into any new projects and programmes, ensuring that the organisation gets more effective at meeting project objectives, with a more efficient use of resources.

**Figure 2: The project cycle**



## 1.2 Stakeholder analyses

A stakeholder analysis identifies all individuals, communities, organisations, administrative structures and any other group that may have an interest in, be affected by, or have the ability to influence the project you have in mind.

## Why stakeholder analysis is important

It is critical to ensure that *all* the relevant stakeholders are involved in the project development at the project planning stage to:

- Ensure that all angles have been considered and all threats and problems identified
- Reach a consensus on what the most important problems are, how you plan to tackle these and what the overall objectives of the project are
- Ensure full 'buy-in' from all relevant parties
- Ensure that the project plan is realistic

It is important to ensure that all groups who are likely to be involved with, or affected by project activities, are represented, not solely the groups that hold the power. For example, in some cultures, women may not be able to freely attend project planning meetings and some groups of people may feel too inhibited to voice their opinions or concerns. Mechanisms need to be found to ensure that these people can provide their input at the project planning stage, even if this is done by undertaking separate meetings away from the larger group.

## How to conduct a stakeholder analysis

Different stakeholders are likely to have different concerns, impacts and interests in and on the project. These need to be addressed. The easiest way of doing this is to fill in a stakeholder analysis matrix (see Figure 3 opposite).

## The process for undertaking a stakeholder analysis

Include in your matrix the following:

1. Stakeholder (identity of group or individuals, e.g. by their name)
2. Characteristic (what sort of person/organisation are they? e.g. a village, a company, a CBO...)
3. Main interests (what are their principle interests/motivations? e.g. survival, profits, conservation...)
4. Impact on the situation (what impact do they currently have on the situation the project is interested in? e.g. are they the cause of the problem, or affected by it?)
5. Interests, fears, expectations (what is their reaction to the project likely to be? Positive, negative, neutral?)
6. Role in relation to the project (what is the most likely position that they will

Figure 3: Stakeholder analysis matrix

Stakeholder	Characteristics	Main Interest	Impact on situation	Interests, fears, expectations	Role in relation to project	Potential impact	Recommendations	Priority

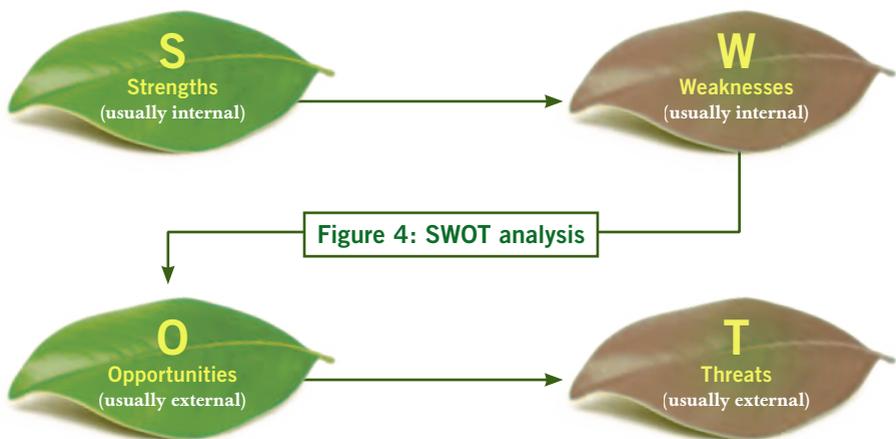
adopt vis-à-vis the project? Supportive, obstructive?)

7. Potential impact (how important/serious might the consequences of this position be for the project? Low, medium or high?)
8. Recommendations (what are the implications of this for the project plan? What do you need to do to ensure your project can be effectively implemented?)
9. Priority (\*, \*\*, \*\*\*, star rating: how do you rank the importance of this stakeholder and their position, plus the action that needs to be taken with regards to that position, to the project's success?)

If you do not know something about a stakeholder, you need to follow this up with research and mark this accordingly in the stakeholder analysis, so that you can fill the gaps later. It is not good enough to just make assumptions and guess what a stakeholder's views might be.

### 1.3 SWOT analyses

A SWOT analysis can be a useful exercise to conduct with all project stakeholders. This tool (see Figure 4 below) can help provide an overview of what environment the project is going to be working in and should help get agreement amongst those involved in the project, because it provides a focus for open discussions. It can also be used for evaluating your organisation and is often used as a business management tool.



When you do a SWOT, whether it is for your organisation as a whole, or for a specific project, you need to consider the following:

### **Strengths**

- What advantages does your organisation have, e.g. in relation to the proposed project?
- What is your organisation particularly good at?
- What makes your organisation special – what particular strengths does your organisation have?

### **Weaknesses**

- What are you not so good at? Try to be honest and as open as you can.
- What could be improved upon?
- What stops your organisation performing at its best?
- What necessary skills are missing that you might need for delivering your objectives / the project?

### **Opportunities**

- Are there some existing suitable gaps that your organisation could step into (e.g. in relation to the project)?
- Where do you see the best forthcoming opportunities for your organisation / the project?
- What is changing in the outside world that might create new opportunities for your organisation / the project in the near future?

### **Threats**

- What obstacles does your organisation / the project face?
- What are others doing that might create problems for your organisation / the project in the near future?
- What high-risk things are you doing that might make you vulnerable to external impacts?

Strengths and weaknesses usually relate to internal factors, while opportunities and threats are provided by external factors. Often people do not want to admit weaknesses or recognise potential threats, but covering up these things rather than dealing with them may undermine the long-term success of your organisation or the project.

When you come to write your project funding application, the information from the SWOT analysis can be used to show how you will build on your strengths, address your weaknesses, use the opportunities and confront any threats through the proposed project. It will demonstrate to a potential donor that you have a realistic and accurate picture of your organisation and the environment that the project is working in.

### 1.4 Problem trees

Identifying the real cause of the problems that the project is trying to address is one of the most critical components of project planning, because the project plan is built from this. If the problems are not identified correctly, the project design is likely to be flawed and this results in wasted time and resources.

#### The process of developing a 'problem tree' to identify causal links

This exercise is best done as a group with all relevant project stakeholders present. It is recommended to ask a 'neutral' facilitator to guide the group through the process.

#### Step One

- Once you have agreed amongst yourselves what the issue is that the project is hoping to address, each group member is given a number of cards (they should all be of one colour) and is asked to write down the problems that they consider are causing this issue. Once the individuals in the group feel that they have written all of the problems onto cards, these need to be discussed and sorted and agreed by the group, helped by the facilitator

*TIP: Often you cannot do this entire process at one go. You may need to kick the higher-level problems around first and sort out the causal relationships between them before you can start filling out more of the detail.*

- All of the cards should be fixed to a board or a wall so that the group can see them easily
- Where the problems stated are similar or are duplicates, you only need to keep one card per problem. It may be clear that there are problems that fall into distinct groups – these should be kept together on the wall

## Step Two

- After discussions within the group you should start with what you consider to be one of the main problems – this should have become apparent from the initial discussion of the causal relationships of the higher-level problems
- Ask yourselves what factors are causing that problem and what factors cause these ones and so on
- Ask yourselves what effects the starting problem has
- Ensure that you identify real, existing problems (not hypothetical ones)
- Don't get hung up in arguments over what is the core/most important problem – this will become clearer through later discussion; try to keep going back to the major causes
- It does not matter where you start the problem tree; anything below will be causes and anything above will be effects
- Remember that trying to describe the problem is different from identifying how to solve it

*TIP: If you find yourself saying 'lack of', then think again! A problem is not necessarily a lack of a solution; it is an existing unwanted situation.*

You now have what is called a 'problem tree' (see Figures 5 to 8 overleaf). Working up a problem tree with the identified project stakeholders is the best way to identify problems, their causes and effects. It looks complicated but in fact is straightforward – it gets everybody involved and allows for open discussions on the project. At the end of this exercise you should have identified the root causes of identified problems and the effects (possibly social, economic and environmental) that these are having on the environment that the project plans to be working in.

### 1.5 Moving from problems to objectives

You now have the basic information needed to determine what the project objectives should be. Using the problem tree, decide how you would want the situation to be once these problems have been resolved (the 'desired situation'). Each problem identified on the tree needs to have a solution decided for it. At this stage you should ask "what will the world look like when that particular problem has been solved?" Ask this separately of each individual problem card.

Figure 5: Starting point of a problem tree

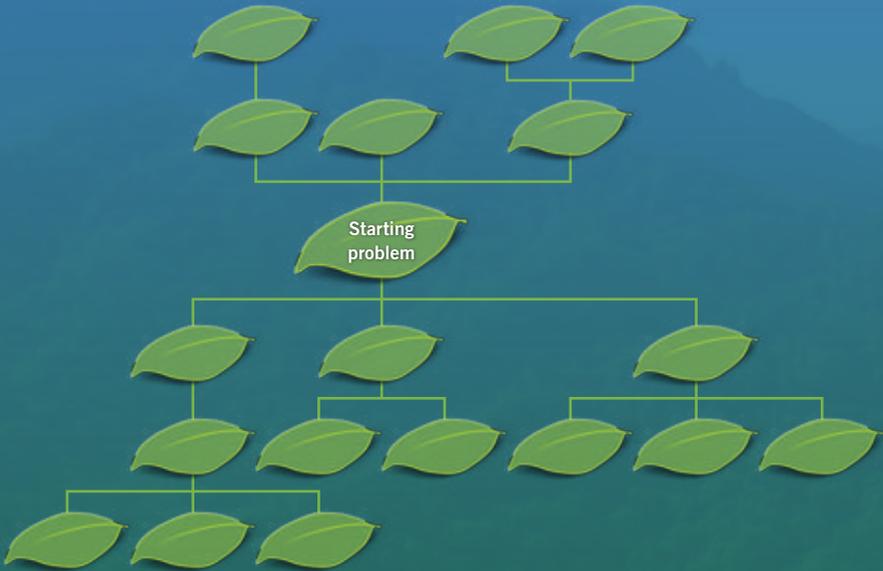


Figure 6: Identifying causal links

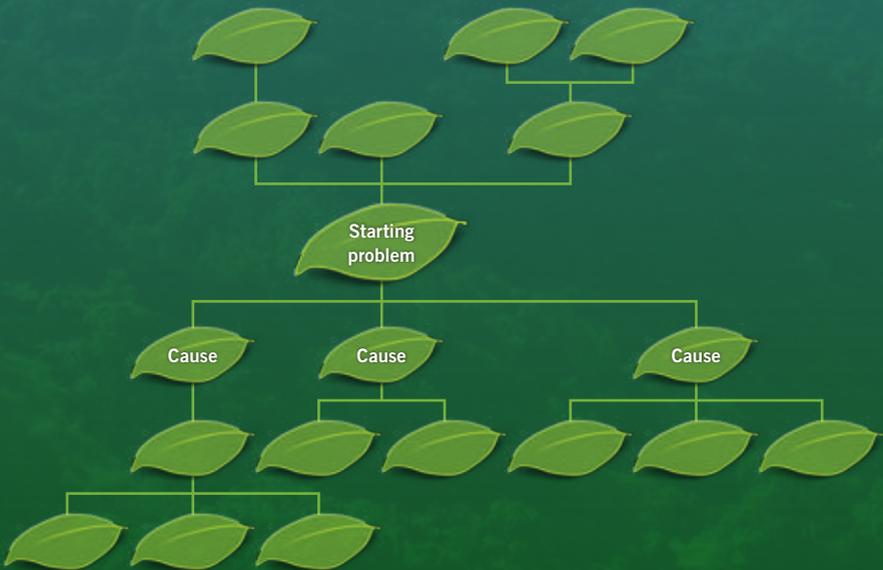


Figure 7: Identifying root causes

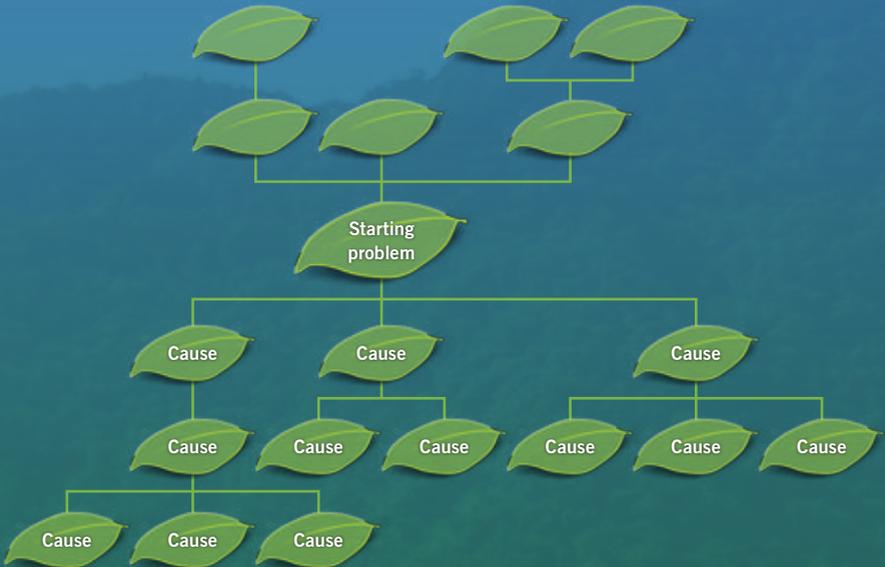
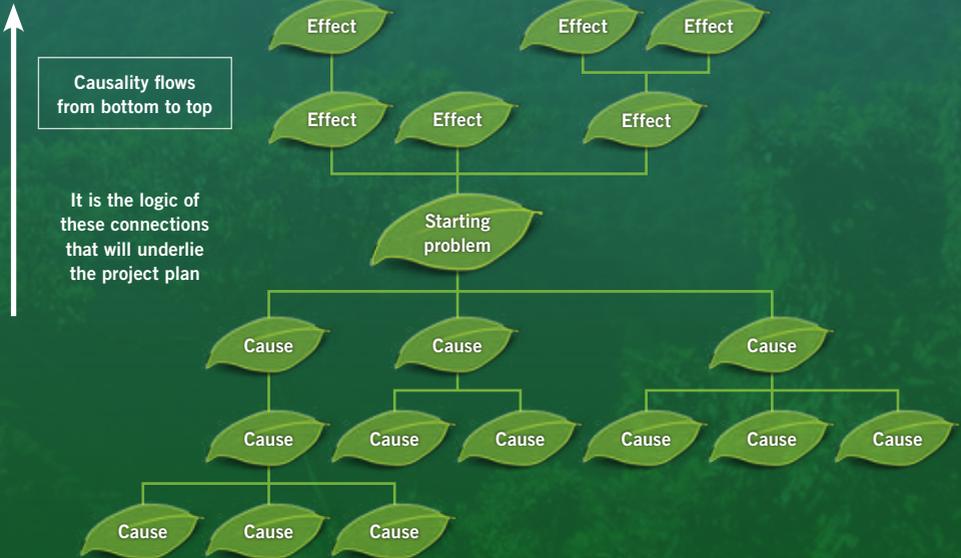


Figure 8: Identifying effects



As with developing the problem tree, ideally you should undertake this exercise with all of the identified project stakeholders as a group, using cards that you can attach to a large wall for all to see. Involving the likely project stakeholders and getting everyone to work as a group at this stage has the advantage that any differences in opinion on what the project objectives should be are highlighted early on, before the project activities are developed. This provides an opportunity to resolve differences because the group will discuss alternative objectives and the final decisions on the objectives will be made by consensus.

It is possible to use this technique in a smaller group or even alone and just use pen and paper, although clearly it is not as effective because there will be fewer individuals contributing and therefore you are unlikely to come up with such a well considered project. The main issue here is that most people find it very difficult to objectively challenge their own suggestions and conclusions. Working in a group discussion, you can each test the understanding and logic of one another in what is being proposed.

Another fundamental flaw of not including key stakeholders in this process is that these stakeholders may not agree with the project objectives you will come up with (because they have not been involved in the discussions) and you run the risk of not having key stakeholders ‘on board’ or fully behind the project.

### **The process of establishing objectives from the problem tree**

- Number the problems on the tree, starting at the top of the tree and working left to right. Keep the problem tree complete and visible to all for this exercise
- On cards (use one colour for all participants but a different colour to the cards used for the problem tree), create solutions/objectives for the various problems identified in the problem tree. To do this you need to take the negative statement of the problem and turn it into a positive statement. The positive statement is what the world will look like if the problem is solved
- Number these solution cards to match the problem cards. At the moment you do not work out what activities you need to reach the solution – just what you want the desired situation to be once the problem is solved. Use one card per solution/objective. These cards should be stuck on another board/wall to match the same layout of numbers as the problem tree – or if you are short of space they can be put on the same board/wall as the problem tree next to their corresponding card number. This is what is called the ‘objective tree’ – and this is the basis for the

‘logical framework’ (see next section)

- You can have a range of solutions for each problem; later you will look at which of these are feasible.

If you have done this right, you can see that the ‘cause-effect’ relations from the problem tree have been turned into a ‘means-to-an-end’ relationship in the objective tree. Working from the bottom to the top, you will see that solving ‘root’ problems will lead to solving the higher-level problems, and so on.

### Selecting your problems and objectives

Once everyone is happy that you have come up with all the potential solutions/objectives for each of the problems, each member of the group is asked to look at the range of solutions/objectives and vote on which they consider are the most important solutions/objectives that should be aimed for during the project period. Equally important, you also need to determine which problems the project will *not* be dealing with. This is easier to do now that you have turned the problems into objectives, and you have a better understanding of what fixing those problems is going to involve. This decision will be determined partly by what is within your scope and expertise (use your SWOT analysis for this!), but it should be primarily dictated by what really needs to be done to get to the heart of the issue, and has the ability to reach the desired impact.

Each participant is given Post-it notes for voting and places them against the relevant solutions/objectives. The objectives with the most votes will be used in the development of the project. If the group does not feel comfortable with the outcome of the voting process then the different solutions can be discussed and a consensus reached amongst the group verbally. The voting technique is only one way to tackle this and does not necessarily give you the final answer – it will give you an indication of where the priorities might lie. You still need to argue through the project logic.

Problems that the project cannot/will not be addressing are still important because they are part of the environment that the project is working in and will need to be considered. They need to be evaluated as potential ‘assumptions’ – factors that lie outside the control of your project but may have the potential to influence whether or not it succeeds (see also the next section). Again, assumptions are often easier to determine from an objective tree rather than a problem tree.

## 1.6 Logical frameworks

Developed in the 1960s by the military for project planning purposes, ‘logical frameworks’ or ‘log frames’ are now widely used by funding agencies and project managers. They summarise the most important aspects of a project in a logical manner. They set out the project elements and the logical links between them and reveal inconsistencies and oversights. Importantly, they can also help with contingency planning and risk assessments.

Log frames are not a magic solution to all your problems, but a useful tool from which the budget, breakdown of responsibilities, activity timetable and monitoring plan can all be developed. Many of the larger institutional funders require applicants to complete a project log frame as part of their application process, but even if a funder does not request them, it is good practice to use them for planning your project. Different funders and different practitioners will use slightly different log frames and terminology, but the main components remain the same. A standard log frame outline is presented in Figure 9 below.

**Figure 9: Logical framework**

Project title:		Planning period	Country: Date:
Overall goal	Objectively Verifiable Indicators	Means/Sources of Verification	Important assumptions
Project purpose:			
Results			
1			
2			
3			
4			
Activities			
1.1			
1.2			
1.3			
2.1			
2.2			
Etc.			

Because it is important to get this right, we will examine each of the headings included in the log frame. We will determine what is required under each column before looking at how the log frame pulls your project design together, and how to check that it makes sense and is – ultimately – logical.

**Overall goal** (sometimes called ‘overall objective’ or ‘wider objective’)

This is the higher-level objective to which the project will contribute; it will not be entirely achieved by this project. It identifies the wider impact that the project will have.

**Project purpose** (sometimes called ‘specific objective’ or ‘intermediate objective’)

This is the key objective, which is to be achieved by the project. It is the immediate outcome or change that will occur if all the results are achieved. It is the *effect* of the project, and the project’s contribution towards the achievement of the overall goal.

**Results** (sometimes called ‘outputs’)

These are the changes that will have been brought about by the project if the project purpose is realised. These changes will have moved the situation from the conditions at the start of the project to the new conditions at its end. They are the *direct changes* that the project will have delivered.

*TIP: There are two golden rules:*

- 1. There are NO results in your project that do NOT lead to the purpose.*
- 2. Nor is there any element in the purpose that is NOT addressed in the results.*

**Activities** (sometimes called ‘inputs’, although this term is confusingly sometimes also used to mean the resources required to do the activities!)

Result by result, these are the *actions* (often broken down into sub-activities) which will need to take place if each of the results to which they relate are to be delivered.

Activities need to be:

- **Linked** – directly related to achieving a specific output/result
- **Focused** – outline specific tasks that need to be carried out
- **Feasible** – possible to accomplish with project resources and other constraints
- **Appropriate** – within site-specific cultural and social norms

*TIP: There are NEVER any activities included in your proposal/logical framework which do NOT lead to the achievement of any of the results/outputs.*

## Risks and assumptions

Risks and assumptions both describe project-related incidents that can occur, but are either formulated negatively (as risks) or positively (as assumptions that they won't happen). The *assumptions* are included in the logical framework; *risks* are sometimes listed in the project application texts together with the mitigation measures you will take to prevent them from jeopardising the success of your project (see also section 1.8).

## Risks

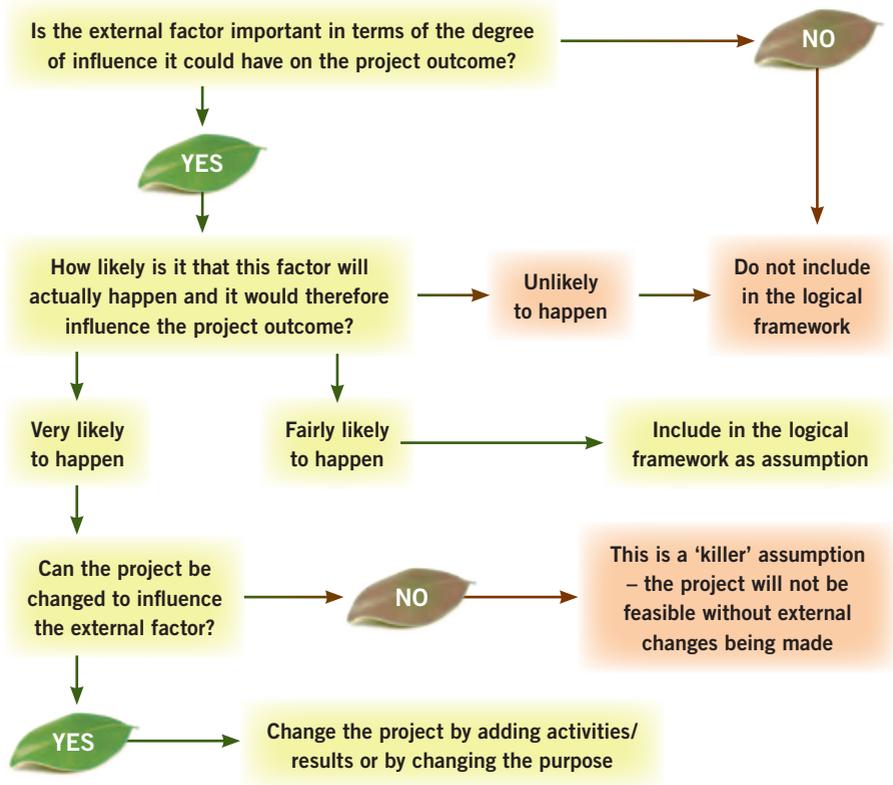
What are the main risks that could affect the project's success? How likely are they to occur? What measures have or will be taken to reduce these risks? For example, if there could be trouble with conflicting clans, you can include a mitigation measure in your project design that consists of transferring project activities temporarily to another part of the area. Although risks are not part of your logical framework, they are still important to consider.

## Assumptions

Assumptions are factors that lie outside the control of the project, but have the potential to influence whether or not it succeeds. They are the *external conditions* that need to exist to allow our project to achieve its objectives. We need to ensure that there is nothing in the external environment that is going to make our project impossible. We also need to think ahead and consider what *future* factors might limit the success of our project and how we might deal with these.

Problems we have identified in our problem tree that we are not addressing ourselves in our project, have become 'assumptions': that is, we assume somebody else will deal with them, or otherwise, not dealing with them will not critically affect our project. There is also a class of assumptions that kick in as a consequence of your having decided to implement your project – these were not part of the original problem tree that you are now trying to fix, but they have become relevant because you have decided to initiate a project. For example, an assumption might be that the community members from villages outside the project area do not start encroaching

**Figure 10: Assessment of external factors as assumptions**



on areas that have been agreed to be ‘no take zones’ by the villagers involved in the project. This was not an issue before the project started. Being clear about all this demonstrates to the donor that we are realistic and it also helps us to manage potential threats. Figure 10 (above) shows a flow diagram with some critical questions that can help to determine whether to include external factors in the log frame.

### Testing the logic

Once you are happy with the overall goal, the project purpose, the results, the activities and the assumptions sections, you should re-check each of the four stages, working from the bottom up, to assess whether the logical framework is indeed logical, that it contains all the elements it needs to contain (and only those elements) and overlooks nothing important.

## Objectively Verifiable Indicators (OVIs)

Once the project is ready to be implemented, we need to ensure that we can measure whether the project is meeting its objectives. The Objectively Verifiable Indicators or OVIs, which are also included in the logical framework, should tell us whether we are meeting our goals and help us keep the project on track. OVIs are quantitative and qualitative ways of judging whether the results and the project purpose have been achieved. OVIs should:

- be easy and cheap to measure
- specify place
- specify time limits
- specify quality and quantity at these times
- be used only once (for each indicator)

‘Objectively verifiable’ means simply that different people examining the evidence will independently come to the same conclusion. If possible an indicator should measure the impact of something rather than the process undertaken to achieve it:

- **Process indicators** – measure how/whether the objective has been completed (tend to be easier to measure but are less useful); e.g. “xx people have read this book”
- **Impact indicators** – measure how/whether the predicted consequences of the objective being achieved are being realised (harder to assess but often more useful); e.g. “xx people are raising more money because they read this book”

Once the indicator has been identified, it should then be developed to include brief details of quantity, quality and time (QQT). For example: “99 percent of conservationists who have read this book (quantity) will have increased their fundraising success with 50 percent (quality) within three years (time).” It then becomes a ‘target’ that can be measured.

*TIP: Always gather baseline/basepoint data before you start a project. Good baseline/basepoint data are essential to be able to measure project progress during and at the end of the project (against that baseline/basepoint).*

Another way to make sure your indicators are good is by checking whether they are ‘SMART’:

- Specific
- Measurable
- Achievable (or: Attainable)
- Realistic
- Time-bound

### **Means of Verification (MoVs)**

The MoVs are the sources of information for the Objectively Verifiable Indicators (OVIs). Means (or sources) of verification include: documents, reports, photographs, and other substantive sources. MoVs are the evidence that makes it possible to gauge actual progress towards the planned results, project purpose and overall goal. MoVs must be accessible and of sufficient quality. For each indicator, an MoV must be specified. Indicators for which no adequate MoV can be specified are not verifiable and must be replaced.

### **Checking the logical framework matrix**

Once you have completed the OVIs and the MoVs, it is worth checking the log frame once more to ensure that it all makes sense. Figure 11 (next page) is a useful checklist for doing this. Once the log frame is completed and you are happy with it, you will have all the critical information that you need for providing an excellent summary of your project. You can use the log frame as a basis for any application (even if a donor does not request a log frame) but equally important, it should be used to guide the implementation of the project itself. When you have agreed the activities required to meet the project objectives you can establish milestones, timings, responsibilities for different activities and the staff, as well as travel and equipment required to deliver these. Once these operational details are agreed you are in a position to start drawing up the project budget.

## **1.7 Project budgets**

A well-designed project plan will assist in estimating time and resources required on a project. However, unless your project budget is thought through properly and is realistically costed, a project may actually end up costing your organisation money rather than bringing in new resources.

Figure 11: Logical framework checklist

FIRST	THIRD	FOURTH	
The Objectives Column ↓	The Indicators Column ↓ Objectively Verifiable Indicators (OVIs) ("how will you know it when you've done it?")	The Evidence Column ↓ Means of Verification (MOVs)	Important assumptions (What factors external to your project could influence whether or not it succeeds?)
<p><b>Overall goal</b> A single objective, wider than that of the project itself. (i.e. other projects and even programmes will also contribute to the achievement of this objective)</p>	<p>What independent evidence will there be to show that the goal has been achieved?</p>	<p>Where and how to find the data in the indicators.</p>	
<p><b>Project purpose</b> A single objective to be actually reached by implementing the project.</p>	<p>What independent evidence will there be to show that the project purpose has been achieved?</p>	<p>Where and how to find the data in the project purpose indicators</p>	<p>Which factors, not actually being addressed by the project, could be crucial as to whether achievement of the project purpose has the predicted impact on the goal?</p>
<p><b>Results</b> Products of the activities undertaken. Typically there are 4-10 results. Number them 1,2,3,4, etc.</p>	<p>What independent evidence will there be to show that the results have been achieved?</p>	<p>Where and how to find out about the result indicators</p>	<p>Which factors, outside the direct control of the project, could be crucial for the results individually and/or collectively to have the predicted effect of delivering the project purpose?</p>
<p><b>Activities</b> All the tasks (and only those tasks) that must be undertaken to achieve the results. Typically there are 4-10 activities per result. Number them 1.1, 1.2, 1.3, 1.4, 2.1, 2.2, etc. to show which result each contributes to.</p>	<p>It is not necessary to complete OVIs and MOVs for activities (but you can if you find it helpful!). Some funders ask for project costs to be inserted in this space instead.  N.B. Don't be put off by the terminology! 'Objectively verifiable' simply means that different people, measuring these factors independently, would come to the same result.</p>		<p>Which factors outside the direct control of the project (initial assumptions or conditions necessary) could be crucial to ensure that completion of the activities leads to the achievement of the results?</p>
			<p>The Assumptions Column ↑</p>

SECOND

Well-constructed budgets provide a critical ‘reality check’ as to what can be achieved. In some cases donors initially ask for one total figure and only ask for a more detailed budget if the project gets through to the next grant application stage, or in some cases only when the project is actually funded. Doing a rough ‘back of the envelope’ calculation for the budget figure but providing great detail on which project activities are going to be undertaken, can be very dangerous. This can lead to a situation where a project promises to deliver more than is financially feasible, which results either in the donor being disappointed, because not all activities can be carried out with the grant they have provided, or in a funding shortfall, leading to a scramble to find funds to plug the gaps.

*TIP: Your financial planning needs to come at the proposal stage, not once an application has been approved!*

A good budget will consider:

- Full costing of the project/programme activities
- Direct and indirect costs/overheads
- Staff costs
- Audit certification
- Co-finance (or match-funding) requirements
- Cash-flow implications and currency exchange risks

### **Full costing – building budgets**

Drawing up budgets should follow directly from the logical framework. Once you have a list of all planned activities, you can ‘break down’ the work (using what is called a ‘work breakdown structure’) to identify all the required resources for the project. This includes human resources, equipment, subcontracts etc. The following steps can be taken to do this:

1. identify the stages of the project; e.g. implementation, monitoring, review and evaluation
2. break down the stages until the smallest tasks or activity can be identified
3. break down the human resources into individual staff time allocations (project manager, finance staff etc)
4. break down the equipment needs (laptops, binoculars, bird books...)

5. then use this ‘work breakdown structure’ to produce a ‘cost breakdown structure’: i.e. make a complete list of every item that can be classed as expenditure
6. place monetary value on these resources

This way you can easily – and completely – calculate how much it will cost to implement the project.

Budgets should be at an appropriate level of detail and structure to enable good project management. They should also be ‘packaged’ to fit with the funder’s budget structure. This means you might want to work up two budgets, one ‘internal budget’ that describes all activities you wish to implement, and how much they will cost (including staff costs and overheads), and an ‘external’ budget that fits a funder’s criteria (for instance, they may have specific ‘budget lines’ you need to follow). In principle, the less detail you provide in the ‘external’ budget the better, so you retain the maximum level of flexibility during project implementation (many donors don’t allow much shifting of funds between budget lines).

### **Direct and indirect costs/overheads**

It is important to recognise all costs associated with the activities, both the direct costs that are easy to identify (e.g. project staff, consultants, materials, travel costs) and the indirect costs that are often estimates (e.g. rent, utilities, support staff time, service costs) but which are equally critical to keep the organisation running.

The definition of a ‘direct cost’ versus an ‘indirect cost’ or ‘overhead’ depends upon the operational units on an activity. For example, if you need an office to run one project, this will be considered a direct cost of the project. Whereas if you have an office from which you are running 10 projects, then for each project, the office costs will be an indirect cost (overhead) as the costs of the office would not be easily separable according to each project.

*TIP: Many organisations establish their own costing protocols in order to effectively estimate these ‘indirect’ but very real costs. This is very useful both for budgeting purposes and to show your donor what your ‘overheads’ are based on.*

## Staff costs

Ensure you include all costs involved, including salaries, taxes, benefits, pension schemes, insurances etc. In case you need to hire new staff for a project, also include recruitment costs (advertising, interviews, travel for applicants etc). When considering the staff time required to undertake a project, you also need to think about the support of other staff not engaged fulltime on the project, either managerially or in support roles. You also need to consider the time it takes to develop the project, report on it, communicate its outcomes and close the project down. NB: As many donors do not allow project expenditure before a contract has been signed, your project development costs are usually not funded. Hence it is smart to include the design of your next project in the budget of this project (e.g. as part of a 'sustainability plan').

Staff who are already being paid for by a funder should not be charged again. However, if they are implementing activities that fall within your project's scope, you can include the cost of this work in the project budget as co-funding. If the project is to run for several years, you need to build in salary increases and other elements of anticipated cost inflation over time.

## Audit certification

Does the funder require an audit? If so what is the scope and exactly what needs to be audited? Where should it be done and by whom? Getting audit certificates can take time and needs to be considered if time scales are tight. Audits can be very expensive and need to be factored into the budget (if they are not paid for by the donor – agree this at the start); they can also impact how the administrative operations of the project should be undertaken and therefore this needs to be considered at the project planning stage.

## Co-finance (or 'match-funding') requirements

Some funders have requirements for co-finance, but even if they don't, having 'match-funding' may be useful as a selling point. This is often a complex area and needs careful planning. As a minimum: if co-finance is needed, raising it and reporting on it bestows an additional (administrative) burden for any project.

*TIP: If a funder does not require co-finance or only minimal disclosure of it, then do not add an extra commitment by including detailed co-finance budgets.*

If co-finance is needed, check:

- Is the co-funding/match-funding secure (is it already obtained)? Is it eligible? (some donors have specific requirements in this context)
- Does the match-funding contribute to the project's objectives? It has to be directly linked to the project you wish to implement
- What is the level of reporting that is needed on the co-funding? Some funding agencies require a full audited report on the total budget, including the match funding, whereas others don't
- Can the co-funding be evidenced to the level required by the funder?
- Who is responsible for the co-finance? Is it under our control?

NB: The difference between 'co-funding' and 'leveraging' is that co-funding contributes to the implementation of the original project, while leveraging adds value to the project by adding additional, funded activities (e.g. 'spin-off' projects).

### Cash-flow implications and currency exchange risks

How does the financing work? What cash-flow implications are there? Some funders pay in arrears and can be very slow to pay. It is important to ensure that the project can survive the cash-flow deficit that is likely to occur in these cases.

Also think about potential currency exchange fluctuations. Your donor may pay you in Euros, dollars or pounds, while you will pay for your project activities in your local currency. Exchange rate fluctuations can be to your advantage, but they can also make your life very difficult if they go the wrong way. You will need to build some flexibility for this into your budget, and be in agreement about this with your donor.

*TIP: Try to get as much cash delivered as soon as possible. This provides the cash needed for operations (without which there is additional financing cost) and can reduce exchange rate risks.*

### More tips:

- Ensure that your organisation has effective internal financial control systems
- Ensure that every expenditure is covered by an appropriate receipt or justification
- Keep copies of receipts for future reference when the original copies are requested by the donor. These copies can be filed electronically

- Ensure you understand the reporting template from the donor; most donors have their own reporting templates
- Project managers should periodically review financial reports with their Finance colleagues for effective cost control
- Draw up a project reporting schedule and ensure you provide your financial reports on time
- Never spend beyond your budget!
- Your project proposal and budget, once approved by a donor, forms part of your contract with the donor. Therefore, if you want to make changes to the project activities or the budget, you need to check with the donor first. The funds they give are for doing the work as outlined in the proposal within the timescale and budget as per the proposal.

### 1.8 Risk assessments and contingency plans

Prior to sending a proposal or application for funding, it is important to check that all likely risks are considered and plans for dealing with these are made ('assessments' and 'responses'). The following checklist intends to help you with the management of your proposed project and will ensure that you are better able to deliver what you are promising.

There are seven standard risk categories that you should check:

1. **Environmental** risks – e.g. natural disasters
2. **Financial** risks – e.g. external risks such as interest rates, exchange rate fluctuations, etc, as well as internal risks such as co-funding difficulties or faulty financial mechanisms (see also above)
3. **Operational** risks – e.g. risks related to complex design of the project, working in a new environment, ineffective management, professional negligence, human errors/incompetences, safety being compromised, infrastructure failure, poor monitoring and evaluation or slow delivery
4. **Organisational** risks – e.g. as a result of institutional/implementation arrangements, partners' capacities etc
5. **Political** risks – e.g. through changes in government and commitment, political will (governance), corruption, political instability, adverse public opinion/media intervention...
6. **Regulatory** risks – e.g. as a result of new, unexpected regulations and policies
7. **Strategic** risks – e.g. when partnerships fail to deliver

Other risks that do not fit in the above categories can include things like poaching, encroachment, population pressure, poverty etc.

**More tips:**

- Ensure that it is clear what you are expected to deliver, and make sure you have the capacity to deliver this, that you can comply with the evidence requirements of the funder and that you can produce the expected project reports on time
- What are the timetables? For example, reporting timetables need to be realistic considering the complexities of the operations (e.g. generally the more locations and people involved, the more time is needed). You may need to collate reports from different groups, which can take a considerable amount of time to finalise
- Build in enough time for both a start-up phase and an exit strategy in your project
- Make a contingency plan (with an associated budget) in case you need to revert to a ‘plan B’

## **1.9 Implementation plans, milestones and Gantt charts**

### **Implementation plan**

Based on the activities in your logical framework, you can develop your ‘plan of operation’ or Project Implementation Plan (also known as PIP). You can do this either before or after developing your budget: your budget can feed into your PIP, or the other way around. However, it is usually far easier to do the budget if you have already devised your plan of operation and Gantt chart.

A PIP can be a 60-page document, but it can also be in the form of a single table. In the latter case, it should include a column for your activities (derived from your logical framework); a column for your project’s key milestones (see page 40); a timeline (in the form of a Gantt chart, see page 41); a column that gives the name of who is responsible for the activity within your organisation/project team; and a few columns with the required inputs (staff/materials/running costs [or: staff/travel/equipment/admin, or any other relevant budget lines]); these come from your budget – or feed into it, depending on whether you do your PIP or your budget first). Figure 12 (on next page) gives an example of a ‘plan of operation’ or a simple PIP.



## Milestones

Within your PIP, a milestone marks the completion of a particular set of activities, a ‘work package’ or a phase, typically marked by a key event such as the signing of an agreement, the production of a document, or the establishment of a new CBO. In this sense, a milestone signifies ‘distance traveled’ (key stages in a project).

As said before, a milestone signifies a key event in the project; it should not be used to refer to intermediate tasks or processes, even when these are critical to the outcome of the project. While there is no ‘correct’ number of milestones or duration between them, they lose their value as communication points when there are too many or too few. There should be far fewer milestones than activities, but there should be enough milestones to gauge whether or not the project is proceeding as planned at major intervals.

## Gantt chart

A Gantt chart is a popular type of bar chart that illustrates a project schedule. The chart shows the start and completion dates of the activities within a project, so it is basically a ‘summary’ of the PIP. Again, it is based on the activities as they are defined within the logical framework. Many donors ask for a Gantt chart in their application forms (rather than for the complete PIP). See Figure 13 for an example.

### 1.10 Monitoring and evaluation

Establishing a robust and practical monitoring and evaluation framework is a critical component of planning your project. It will help determine whether mid-course adjustments are needed. Monitoring and evaluation as a process helps measure progress and can create an internal feedback loop, which can help avoid failures and maximise the potential for success.

#### Definitions of monitoring and evaluation

Many people use the terms ‘monitoring’ and ‘evaluation’ interchangeably but in fact they are different things, although they combine to make up the monitoring and evaluation process. Monitoring is the process of collecting information to determine the progress of the project. Indicators (OVIs – see Section 1.6) are the factors that are measured during monitoring. Evaluation is the adaptive process which follows monitoring and asks “what are we going to do about our current understanding of progress?”



In many cases donors will ask you in the application form how you plan to monitor and evaluate ('M&E') your project. If they grant you funding, they will expect you to report on the progress of your project and will usually want a full evaluation (sometimes done by independent, 'external' reviewers) once the project is completed. However, project-level monitoring and evaluation is not something to be done only at the end of a project. It should be done throughout a project, so that any problems can be identified early and deficiencies corrected. Most effectively, monitoring and evaluation refers back to goals laid down at the planning phase. It is therefore important to invest time and resources in defining how you are going to measure your project's success at the beginning of the project and to create a plan for the monitoring and evaluation process. Indicators should be defined and built into the design and implementation process, so that the relevant data can be collected as a project moves forward.

You can use the indicators (OVIs) and their Means of Verification (MoVs) that you have developed in your logical framework as a basis for your M&E plan (see 1.6). Your milestones (see 1.9) are also good reference points for measuring the project's progress.

*TIP: During the project implementation phase, you can use project team meetings, steering committee meetings and any other stakeholder meetings to review the project's objectives and its progress against the baseline/basepoint, using the indicators you have developed in your logical framework.*



## Section 2

# Donor selection, writing and submitting applications



*This section helps you to find the most appropriate donor for your project. It covers the basics of developing a successful funding approach and provides an application checklist to ensure that you don't miss any critical information or steps in the application process.*

### General principles of donor selection, writing and submitting applications

- Ensure that you are clear about what you are selling
- Ensure the project or programme meets your current operational priorities
- Ensure your project or programme matches the donor's criteria
- Present your project or programme and budget in a professional manner that demonstrates you can deliver what you propose
- Follow the application format and procedures of the donors
- Make sure the proposal reaches the donor, in time! Use a checklist for this

### 2.1 What are you selling and what do you need?

Before fundraising begins you need to ask the following questions:

- Does this project match the mission of your organisation and is it one of the highest fundraising priorities for your organisation? (if not, do you really want to do it?)
- What is to be paid for? (ongoing work, new work, infrastructure...)
- Where is it needed? (country, area, site...)
- When is it needed? (immediate, six months, two years...)
- Who needs it? (NGO staff, local communities, others...)
- How much is needed? (costing the scope of the work)
- Who will be responsible? (who will lead finding the finance – this doesn't have to be the same person as the one implementing the project)

If you have already undertaken a stakeholder analysis, a problem analysis, and developed a log frame, including the project objectives, desired results and activities, you will effectively have a project concept and you are likely to have answered many of the above questions.

You now need to identify appropriate potential donors and then transform your project concept into the format required by these donors.

## 2.2 How to find donors

This section provides an overview of the different tools you can use to find donors. More information on specific ‘Grantmakers’ directories, websites and resources is available in the resource section at the back of this guide.

The five main ways to find appropriate donors are:

- Your organisation’s current and past donors
- Grantmakers directories
- The Internet
- Other organisations’ annual reports
- Word of mouth/networks (including social networks)

### Current and past donors

A good place to start is by making a list of your organisation’s current and past donors. Current donors, depending on the size of their available budgets, are often worth approaching first because you will already have built up a good working relationship with them and they believe in the work that you are doing. In some cases past donors will have simply ‘dropped off the radar screen’ because staff are too busy to approach them again. Therefore it is good to look over this list and determine whether any of them are still worth approaching. In some cases they will no longer be appropriate but in many cases they will be. See also the fundraising strategies and plans in Chapter 4.

*TIP: If you are approaching current or past donors, do your homework on the projects that they are funding or have funded (of your organisation), so that you can answer any questions about them even if you are not/were not the project manager.*



## **Grantmakers directories**

There is a range of very useful directories listing organisations that make grants to the non-profit sector. They usually provide contact details of the donor, information on what type of work they support, geographic and other restrictions, details on the application process (including submission deadlines), grant sizes and other useful information. These directories can provide a good first 'cut' at identifying potential donors, although once you have identified a donor, it is likely that you will need to do more in-depth research by looking at the donor's website, or using a search engine to produce information about past grants and more information than will be available in any of the directories.

Some Grantmakers directories are very broad, others are more specific. Ideally the closer the match to your potential donor targets, the better. For example, you can purchase a guide that lists all of the American funding institutions, but if the majority of these only give funds to charities based in North America and your charity is based in Africa, you may be buying a directory that is only five percent useful to you. Directories are often available in CD and paper format.

## **The Internet**

A number of websites provide multiple resources for grant-seekers. Chapel and York and the Directory of Social Change (based in the UK) and the Foundation Centre (based in the USA) are some of the most useful. They offer online donor directories, sell a broad range of publications on fundraising techniques and NGO management and capacity building, hardback donor directories and they run fundraising courses and seminars. They provide tips on fundraising and in some cases examples of fundraising templates and other resources that are free of charge. Others provide a 'sign-up service' and they will send you daily or monthly lists of funding opportunities from a variety of donors.

Even though you can easily get 'lost' on the web, surfing through unfiltered information about donors and opportunities, it is still worthwhile to check these websites out once in a while. You will find some of the addresses in the resource section at the back of this guide.

## **Other organisations' annual reports**

Where are your competitors getting money? Which donors are supporting them? The easiest way to find out is to look at the annual reports or other publications

produced by your competitors, as they will usually list their key donors (both institutional and individual); it is then easy to research these donors using the Internet or the donor directories discussed above.

Don't forget to look at reports from the academic sector and from non-environmental NGOs; they can also be very relevant. You can also look at strategic plans and reports of the corporate sector to see whom they supported in a particular year and check whether you would be eligible for their support in the next year!

### **Word of mouth/networks – including social networks**

The oldest but still hugely valid way of obtaining information: talk to people. Talk to your members, your friends and relations, your colleagues, your competitors, your family – you never know who knows whom! This 'strategic know-who', in addition to 'strategic know-how', can be very fruitful. Anybody can have a great idea or know somebody who may be able to help you.

Also, ask your supporters to ask their friends and colleagues to support you, too. Ask your donors to introduce you to other donors. Use other networks – like the Rotary Club, the golf course, the gym, the church, but also FaceBook, Twitter, YouTube and other social networks – to disseminate information and see who picks it up.

*TIP: It is a good idea, once you have done all this research, to develop your own database with all the relevant donor information. Note: For this database to be useful, it will require continuous updating!*

## **2.3 Types of donors**

Apart from having different criteria and grant sizes, donors also have different ways of working and expectations in relation to the application process, co-funding requirements, reporting requirements and flexibility.

It may be that although some donors provide very large grants they expect high levels of co-funding, have stringent financial and technical reporting requirements and pay in arrears. If the cash-flow and other constraints of the project have not been thought through carefully, such donor demands can lead to serious problems for the project, or possibly for the wider organisation. Therefore, apart from being

**Figure 14: Types of donors**

Type of donor	Advantages	Disadvantages
<p>Governments (bilateral and multilaterals), for example: bilaterals – Danida, Sida, Finnida, Norad, JICA, DfID and Darwin; multilaterals – EC, GEF, UNDP, Africa Development Bank...</p>	<ul style="list-style-type: none"> <li>• Usually provide large grants</li> <li>• May be useful on issues relating to policy</li> <li>• If the project fits with government strategy then this increases the possibility of meaningful impact</li> <li>• Staff are professional and understand the issues you are working with</li> </ul>	<ul style="list-style-type: none"> <li>• Usually long and complex bureaucratic application process. Often two stages of application required</li> <li>• Payment is often delayed and can require large co-funding</li> <li>• Little flexibility</li> <li>• Sometimes they have expensive, onerous reporting requirements</li> </ul>
<p>Large foundations, for example: Arcadia Foundation, MacArthur Foundation, JRS Biodiversity Foundation, Critical Ecosystem Partnership Fund</p>	<ul style="list-style-type: none"> <li>• Usually provide large grants</li> <li>• Staff are professional and understand the issues you are working with</li> <li>• Clear guidelines on what is funded and the process of how to apply is usually well documented</li> </ul>	<ul style="list-style-type: none"> <li>• Application processes can be lengthy</li> <li>• Application and reporting formats can be complicated</li> <li>• Priorities are sometimes very 'personal' to members of the Board and may change rather easily</li> </ul>
<p>Small foundations/ small grants funds, for example: Disney Worldwide Conservation Fund, the Sound Approach; small grants from other NGOs (NC-IUCN, WCS), GEF SGP, AEWA, Ramsar, Embassy Funds, Rotary Club...</p>	<ul style="list-style-type: none"> <li>• Sometimes allow for a more personal approach/ commitment to the organisation</li> <li>• Sometimes more flexible/ easier application and reporting processes</li> <li>• More flexible on what they fund</li> </ul>	<ul style="list-style-type: none"> <li>• Staff not always as professional as those of larger institutional funders</li> <li>• May not have much money</li> <li>• Application and reporting formats may be equally onerous as for big grants</li> <li>• Priorities may change very quickly</li> </ul>
<p>Large corporate foundations, for example: Ford, Mitsubishi, Toyota, Shell, Exxon...</p>	<ul style="list-style-type: none"> <li>• Often have large sums of money to give</li> <li>• Often have large professional staff</li> <li>• Usually clear on what they want from the arrangement</li> </ul>	<ul style="list-style-type: none"> <li>• Can change their priorities frequently</li> <li>• Often sensitive to anything that might alienate other stakeholders</li> <li>• Contractual agreements can be cumbersome</li> <li>• Expect a lot of donor care and profile for their money</li> <li>• Have to be careful that taking money from a multi-national corporation does not alienate other donors who give to your organisation</li> </ul>

clear about whether a donor is likely to be interested in your type of project, it is also critical to consider whether it is helpful to receive money from some donors if their grant-giving terms and conditions are going to put your project or organisation at a disadvantage.

### **Bilateral donors**

‘Bilateral’ means “affecting reciprocally two nations or parties”. In fundraising terms, bilateral donors are national governments with funding schemes (like the UK government through DfID and the Darwin Initiative) that can be accessed by others, e.g. national and international NGOs and other non-profit institutions. It is a two-way relationship between the government fund and the implementing organisation.

### **Multilateral donors**

‘Multilateral’ means “involving or participated in by more than two nations or parties”. Multilateral agencies are organisations that bring together various parties, e.g. the European Commission (representing the countries of the European Union), the African Development Bank, UN agencies such as UNDP and UNEP, etc.

### **Trusts and foundations**

A charitable trust is a trust whose purposes are exclusively charitable and provide a public benefit. A foundation is more or less the same thing under a different name. Both are non-profit organisations with a legal status. There are ‘private trusts and foundations’ (founded by an individual or a family – like the Bill and Melinda Gates Foundation), and there are ‘corporate trusts and foundations’ (like the Mitsubishi and the Ford Foundations).

Some of the advantages and disadvantages of particular donor categories are outlined opposite in Figure 14.

## **2.4 Matching potential donors to your project**

Keeping the above in mind, you need to look through your list of potential donors, consider their criteria and decide if they are a good match for your project. You need to consider the following:

### **Goals, mission and concern of donor**

- Main objectives of the fund

- Main theme(s), geographic focus, interests...
- Buzzwords (biodiversity conservation, poverty alleviation, sustainable development, gender, climate change, ecosystem services...)

### **Project type and size that donor usually funds**

- Types of project/activity funded
- Types of project/activity eligible/ineligible
- Types of organisations eligible/ineligible
- Preferred project length (and range of this)
- Usual grant size (and range of this)
- Full grant or do they require match-funding?

### **Donor application procedure**

- Submission deadline
- Submission to decision period
- Lead-in time before contracts are signed and projects can start
- How is the funding decision made? Where and by whom?
- Any special application procedures? Direct full bid or first concept then full bid?
- Special application forms? How are these available?
- Hard copy application required and/or electronic?
- Any special requirements or constraints? (e.g. certified annexes, bank guarantees, new projects only, incremental costs only, massive reporting requirements...)

### **Other questions to consider**

- Do they actually have the funds to give away?
- Are they currently funding your organisation or are they a past donor?

If you assess each donor using this set of questions in relation to your project, it is likely that you will automatically be able to exclude some potential donors. This may seem disheartening but it will actually save you time and ensure that you are using your time most effectively by only approaching donors

- (a) whom you have a good chance of securing funds from because their criteria closely match your needs, and
- (b) where you are not going to run into trouble at a later date should they give you the grant with onerous reporting requirements or unrealistic co-funding needs or similar.

## 2.5 Before you start writing

### Contact the donor

Having identified a hit list of donors for your project, the next stage is to contact the donor (if this is possible) to introduce your project idea and critically to get feedback from them on exactly what they are looking for (goals, missions, concerns), as well as practical details about application format and deadlines for submission of proposals for their consideration. You should already have gathered some of this information from your research above, but it is good to check with a donor staff member because sometimes they will have information that has not been posted on the website or is not in their published guidelines. You will find more information about making contact with donors in Section 3 of this guide.

### Ensure you have a strong application team

Writing good grant applications will usually require a team approach. Team members are likely to include:

- Programme staff with technical expertise – who should have a good understanding of the practical needs and the technical background to the project
- Finance and contract staff with skills in budgets, financial structuring, contract and legal issues
- Fundraisers with detailed funder knowledge, packaging and selling skills

Ideally, once a donor has been identified for a particular project, the team of people charged with pulling together the application should meet (even if only via email or Skype) and agree who is doing what and when.

*TIP: Agree on internal deadlines for parts or drafts of the application – and stick to them. Appoint a co-ordinator who ensures deadlines are met and who brings all the different elements and people together.*

If you are working with teams of people remotely via the phone, email or Skype, it is even more critical to get a clear agreement about who is responsible for what and, for instance, to ensure that you take into account any religious or public holidays coming up that will impact the work plan.

It is also worth being aware of the different global time zones so that if you are working to a tight deadline, you can make these work for you, rather than against you: one team member can be working on an application in one part of the world, whilst another member is sleeping, effectively meaning that you can get 16 or even 24 hours of work out of any working day – or so the theory goes!

*TIP: For an application that requires individuals to devote a large proportion of their time to it, within a specific time period, it is worth making the relevant staff members' line managers aware of the commitment needed, to avoid staff being pulled in too many directions at once.*

### Critical questions before you dive in!

- Are you the best-placed organisation to deliver this project? Is the project a high priority in relation to your other commitments?
- Have you got the staff resources to make the application? Can you manage the project in the way that the donor requires?
- Before you start – is the timing feasible to make the application?
- Has the donor got available funding?
- Is anyone else within your organisation/collaborating institutions making an application to this donor, and if so, have you liaised with that person to ensure your applications are complementary/support each other rather than competing or duplicating effort?

## 2.6 Writing the funding application

### Develop your own storyline

It is good practice to write down your 'storyline' before you look at any donors. This is to ensure that you won't lose sight of your project's design when you fill in the donor's application form (which may not always be in a logical sequence, or may send you off in a different direction than you initially aimed for).

A storyline, or concept, doesn't need to be long; one or two pages are usually enough. It should include (at least):

- The justification/background to your project (why it is important)
- The problem you aim to address

- The solutions you are offering (objective; purpose; results)
- The process of how you will do it (activities)
- How much you need to do it (budget)

Most of this comes straight from your logical framework. So if you have done a logical framework, preferably derived from a problem tree, and in close collaboration with your stakeholders, this concept will be an easy translation of the first column of your log frame. If you haven't done any of this yet but you have a project idea and a donor in mind, it is a good idea to write up a basic log frame before you start on your application form. It will focus your mind and it will guide you through the application process.

*TIP: It is recommended to develop a logical framework for every proposal you write (except for very small projects) – even when a donor does not request it!*

### Who are you writing the application for?

The aim of a project proposal is to persuade the donor to provide funding for your project. You will have to describe your project and demonstrate to the donor that your organisation knows what the problems are and has the expertise and experience to tackle these.

The key to success is selling a vision of how your project will improve the identified situation, while showing how it will match with the mission of the donor. To do this effectively, you need to consider whom you are writing this application for. There are two levels at which this question can be answered:

1. 'Who' meaning: what kind of funding agency do you have in mind? As we have seen, an application to a bilateral or to a small family foundation is likely to be presented very differently.
2. 'Who' meaning: what sort of person is likely to read it?

Usually, you will find there are two kinds of people who will read your application:

- A technical expert who will assess the technical competence of the proposal and will write a report to the decision-makers
- The decision-maker who will make the final decision, based on your proposal (often this could be a trustee, chairman or director of the funding agency)

This means that your proposal must be persuasive, as well as technically detailed and correct.

## 2.7 The application structure

There are endless approaches that you can take to build an application. Many donors have their own application requirements and unfortunately they are all different. However, as a basis, you should try and ensure that the following areas are covered in any application that you make and should form the main ‘meat’ of any application:

- Contents page for easy access to specific sections
- Summary page to let the donor representative know what to expect
- Body or content of the proposal, structured as CROP – see below
- Conclusion and budget summary
- Annexes to provide necessary detail, like a bibliography/references to back up facts

The main section of your proposal is where you describe the project. This is based on your logical framework and on the storyline you have already developed. Another way to structure and present this is ‘CROP’, which stands for:

- **C**ontext
- **R**elevance
- **O**bjectives
- **P**rocess

### Context

#### Justification – why is it important?

- What is the importance and current status of the species/habitat/issue concerned (in regional/national/international context)? What are the trends in this and rates of change?
- What are the causes of these trends and how sure are you of the link?

#### Background – how did you get to this point?

- What have you and others done so far to address this issue?
- What other groups or individuals have an involvement or interest in this issue or might be affected by the project you propose?
- Why is this new project important? Does it have a wider significance or applicability?

- Can you locate the project in a local, regional and if appropriate, international context? The donor will be interested to know whether the project has implications at these different levels.

## Relevance

### Why you?

- What previous experience do you have in this subject? How credible is it that you think you can do this? Use your SWOT analysis for this
- Why do you want to do the project? What is your specific interest in the subject?

### Why them?

- How do your proposals relate to the donor/agency funding criteria and interests? Are you convinced your project qualifies?
- Are you sure you can tell the potential funder what they want to hear (including all the right ‘buzzwords’)? Make sure the donor doesn’t need to say: “So what?”

## Objectives

### What is it you want to achieve?

- What is your overall goal and your project purpose? What is this project expected to achieve and what are the long-term impacts?

### Who are you doing it for?

- Who are your main beneficiaries likely to be?

## Process

### What is it you are going to do?

- What will the results be? What will be different when the project is completed?
- What activities are you proposing to do? How will these actions influence the problem(s) you have identified?

### How will it be paid for?

- How much will it cost? Are you sure your budget includes all the real costs?
- Is the project practical and feasible within the resources you propose?
- If matching funds are required, where will these come from? Are they secure?
- What will you do if the donor/funding agency doesn’t come up with the money?

### **How will you manage the project?**

- How do you propose to manage the project? Are you sure this is feasible?
- What is the timescale for the project? (Add Gantt chart)
- How do you propose to monitor its progress? What are the milestones, indicators and Means of Verification?
- How will you fulfil the donor's requirements (including acknowledgements, publicity profile, reporting and financial control)?
- How will you know when you have finished the project? Will you do a self-assessment or will there be an independent evaluation?

### **Then what? Long-term sustainability**

- Will the results be of wider applicability/of value to others? Will there be any multiplier effect?
- What will the future of the project be? Does it need to continue after the end of the proposed funding period?
- If not, how will its impact be sustained?
- If it does need to continue, how will it then be managed and funded? By whom?
- Do you have a feasible exit/handover strategy?
- What are the main risks and assumptions in this project?

The amount of detail you provide here will depend on what level of detail the donor requests and how much space they allow you in the overall proposal.

## **2.8 A typical bid document**

Using the application structure as described in the previous paragraph (2.7), a typical bid document could look like the example given in Figure 15. Note: this is an example for large institutional donors; for small grant funds you will need to include much less information than is presented here.

## Figure 15: A typical bid document

### Front cover (with title, picture, logos)

#### Title page

Title of project, name of agency to whom proposal is being submitted, name and address of your organisation, name and contact person who will be best able to discuss the proposal, date

#### Table of Contents

#### Summary

##### Context of proposed project

- Justification, importance of habitat/species concerned, threats or problems
- Background, description of project area (including location map), previous actions

##### Relevance of proposed project

- Why you are interested and qualified to do this project
- Why the project is relevant to the donor

##### Objectives of proposed project

- Overall goal and project purpose
- Project beneficiaries

##### Process of proposed project

- Results expected and activities proposed
- Budget: by activity and type of expenditure
- Financing: where is the (co-)funding coming from
- Project management structure (including diagram)
- Project Implementation Plan/Gantt chart
- Project management structure (including diagram)
- Project follow-up, sustainability of impact, exit strategy
- Risks and assumptions

##### Conclusions and budget summary

##### Annexes (with list and numbered dividers between)

- Business plan
- Logical framework
- Map(s) of project area (showing what is proposed)
- Photographs (only if useful to show specific issues)
- Relevant previous experience of applicant organisation and proposed project partners (SWOT)
- Proposed detail of management of project, evaluations planned and linkages between partners
- Letters of support
- Short papers demonstrating context or justification for project, bibliography
- Abbreviations used

#### Back cover

**Figure 16: Do's and don'ts**

Do	Don't
Make contact with a real person from the donor and address the application to him or her	Take a 'one proposal fits all' approach
Use your donor research to tailor your proposal to meet their criteria and show you understand what they are trying to achieve	Make the project fit the donor criteria at the expense of what you think needs to be done
Plan ahead so that your proposal is not rushed or crisis-related	'Pad' your budget to include things that are not relevant to the project
Show that you know which other organisations are working in the field and what they are doing and how your project relates to their work	Hide information that the donor is entitled to
Involve others in editing your proposal	Send too much documentation so that the reader gives up before they start
Keep it short – no more than 10 pages or less if specified by the donor	Assume that the donor knows about your organisation or the work that it does
Show that you care for the work – show passion and commitment	Use unnecessary 'internal' jargon – staff within an organisation can fail to understand that the majority of the world (including the donor!) do not understand the acronyms that are used daily within your organisation
Pitch the tone correctly according to the donor – a small trust or foundation will not want such a technical presentation of the work as say a bilateral	
Let the story of the project come through but do not 'gush' or be overly emotional	
However if you are prone to writing in a cold scientific manner add some colour and passion to your proposal	

Table courtesy CIVICUS

### 2.9 Do's and don'ts and writing and layout tips

Figure 16 above gives you some tips on do's and don'ts to keep in mind when writing funding applications. Write concisely and clearly and simply and make your proposal look readable. You will find some more writing tips and some layout tips in Figure 17 opposite.

**Figure 17: Writing and layout tips**

Writing tips	Layout tips
Write simply and avoid jargon	Use headings and sub-headings but do so consistently
Use short sentences	Number your pages
Use the active rather than the passive voice when you can. For example, “ <i>specialised project staff will run all courses</i> ” rather than “ <i>all courses will be run by specialised staff</i> ”	Ensure your document is bound or stapled in the right order and ensure your numbering is correct
Check for spelling and grammatical errors – get someone else to read your document and make corrections	Use white space – have wide margins
Revise and rewrite if necessary	Don't crowd the text
Don't exaggerate. Back up your case with facts and references if possible	Use a font that is easy to read
Write for a non-technical reader	Present your application in an attractive way (if feasible and allowed by the requested donor format, include attractive and appropriate images)

Table courtesy CIVICUS

## 2.10 Budget presentation

Just as with everything else in this guide, there is ‘no single answer’ to budget presentation, although there are some general principles that should help you. Section 1.7 covered some of the principles that you need to consider when you are drawing together a budget. It also flagged that there is often a need for two separate budgets – the internal budget which will be used to ensure that all of the necessary project costs and organisational overheads are being met, and the external ‘donor’ budget that demonstrates how the budget is funding the activities and the results outlined in the funding proposal, using the donor’s budget format and guidelines.

When a donor looks at a budget it should highlight the positive activities and results that their grant should enable. It should not shout ‘office costs, staff costs, overheads, administration costs’. Every donor is realistic enough to know that these support costs have to be met but they do not want to feel they are providing funds only for administration and salaries. The simple budgets overleaf demonstrate two different approaches; both are acceptable because they clearly show the donor what they are getting for their money.

In Figure 18 opposite, all salaries and overheads have been completely hidden and are written as activities and outputs instead. Obviously staff and office costs will be associated with each of these activities, but the budget focuses on what will be delivered. In Figure 19, support (overheads and project management) and capital costs have been presented separately but the budget still focuses on activities and outputs, rather than on the process of how these are going to be delivered.

## 2.11 Application checklist

The following list is designed to help you check that you have included everything that you need in your project proposal and that you are sure that it has reached its destination.

### The funding proposal

- Have you answered, in the correct format, all the questions the donor asked?
- Have you kept to the number of pages/format requested by the donor?
- Are the current threats, the project rationale, project goal, stakeholders, methodology, outputs and exit strategy all clear?
- Is there a clear start date and end date for the project?
- Have you checked that the budget adds up and is clear?
- Are co-funding issues clear (what has been secured/required, etc)?
- Have you demonstrated that this project meets the donor criteria?
- Is it clear whom the donor can contact if they want to discuss the proposal with your organisation?

*TIP: Switch off the 'track changes'! To make sure people can't see the changes, you have to accept all changes and save it as another file. You can also send your proposal as a PDF file, if allowed by the donor.*

### Supporting documents

- Have you supplied all the supporting documents?
- Do the supporting documents actually support your application?
- Are the supporting documents in the format that the donor requests?
- Have you included the right number of duplicates, if requested?
- Have you taken a copy of the complete application and supporting documents?

**Figure 18**

<b>Cost activities and outputs in Euros</b>	<b>Botswana</b>	<b>DRC</b>
Desk-based research	8,500	8,000
Development of initial 3-year action plan	8,000	8,000
Initial research phase	34,500	26,000
Experimental management impact monitoring	92,000	56,000
Community education and advocacy	26,000	12,500
National training and capacity building	27,500	26,000
Consultation and publication of 5-year action plan	8,000	8,000
Dissemination staff exchanges and promotion of best practice	9,500	6,500
<b>Totals</b>	<b>€ 214,000</b>	<b>€ 151,000</b>
<b>Overall total</b>	<b>€ 365,000</b>	

**Figure 19**

<b>Activity costs (activities as listed; including staff costs)</b>	
Dossier for temporary protection of wetlands	9,250
Surveys with communities to determine boundaries, zones and uses	56,757
Consultations by community, to consolidate local support	92,644
Social and Environmental Impact Assessment	28,410
Development of management responsibilities and Terms of Reference	20,245
Local capacity-building and establishment of SSG with management authority	99,179
New income-generation projects	53,933
Strengthen NGO: training, institutional capacity-building and leadership	69,413
International travel	15,544
<b>Support and capital costs</b>	
Equipment	4,901
Project management, administration, monitoring and evaluation	45,028
<b>Overall total</b>	<b>€ 495,305</b>

**Getting it there!**

- Have you double-checked where the document is going and to whom it must be sent?
- Have you primed the donor to expect the proposal?

- Does the donor require a hardcopy version of the proposal? Have you sent it in time (so that it can reach the donor before the deadline)?
- Does the donor require a submission by email? If so, wait until you get a confirmation (you may have made a mistake in the email address)
- How are you going to follow up once the proposal has reached the donor?

*TIP: There are five fundamental rules that will help increase your fundraising success:*

- 1. Ensure that your project matches the criteria of the donor*
- 2. Read the questions/criteria that the donor sets*
- 3. Answer the questions/criteria that the donor sets*
- 4. Check the budget*
- 5. Get another person to read through the whole grant application to ensure that you have covered the above points, that you have not gone off on a tangent and that you have not filled your application with technical jargon and acronyms*

Although these points seem ridiculously simple, the reality is that donors still receive large numbers of applications where the proposed projects do not meet the criteria set out in their guidelines, the applicant has not read nor answered the questions that they have been asked to answer and the budgets are wrong. If you can get the above correct, you are likely to have an advantage over at least 25 percent of the applications reaching a particular donor.

Getting another person to read through the grant application before it is sent to the donor has a huge advantage: viewing the application with a ‘fresh pair of eyes’ will often result in spotting of errors you have missed, as a result of stress, tiredness or because you have reached ‘saturation point’ with a particular application because you have been working on it so closely.



### Section 3

## Developing and maintaining good donor relationships

*This section covers approaching donors for the first time and how to follow up once you have submitted an application. It also suggests how to manage and build the donor relationship once you have secured the grant. It stresses the need to send professional reports, keep good records and ensure that you continue to sell your project and organisation to donors.*

### General principles of developing and maintaining good donor relationships

- Know your donor – know your project
- Ensure that reports are in the required format, are on time and are professionally presented
- Keep clear, up-to-date records of all your donors
- Assign a ‘Donor Relationship Manager’ or ‘Gatekeeper’ for each donor
- Sell your project and organisation at every opportunity
- Build and cultivate your relationship with the donor so that you can ask them for follow-up funding or new project funding in the future

### 3.1 Approaching donors

You have developed a great project, you have compiled a strong project concept and a good budget that can be tailored to the needs of particular donors. You have identified potential donors for the project, taking into account their objectives as well as your own organisation’s priorities and staff resources. The next step is to approach the donors and ask them to consider funding your project before you send them your funding application.

#### Know your target – know your project!

It is important that you take the time and make the effort to find out everything you

can about your donor before you make the first approach to them. It conveys the professionalism you will bring to your dealings with the donor. Some questions to consider are:

- Have they funded your organisation before; if so, when and why?
- Does anyone within your organisation have a special relationship with this donor/inside knowledge?
- If this is a new donor – which organisations do they fund and for which projects? Often you can find information about who is funding the ‘competition’ in their annual reports, on their website and in their promotional literature, in fact anywhere where they are acknowledging donors (see also Section 2.2).

As discussed earlier, certain types of donors have different application procedures, co-funding and reporting requirements and will operate in a variety of ways: they will therefore require different approaches.

### **Approaching donors: bilaterals and multilaterals**

Both bilateral and multilateral organisations often have two-stage application processes and they usually require a concept note or Letter of Inquiry to be submitted so that they can determine whether they want a full more detailed project application from you.

Ideally it is good to phone them and discuss your idea and get feedback before you send the concept or Letter of Inquiry to them. It can prove difficult to speak to them directly, but the time and effort spent on researching the organisation and the contact people you need to deal with through the application process, usually pays dividends.

- If you plan to call them, it is critical to determine whom you need to speak to within the organisation – this can be a maze, and you need to speak to the right person to ensure you get accurate guidance.
- It is also important to determine if your organisation or other organisations have enjoyed any success in securing funds for the type of project you plan to submit. If this is the case then it is smart to look at past funding applications (if recent and the criteria have not changed) to get a feel for what is expected.

### **Approaching donors: trusts and foundations**

- Contact them by phone and talk through the idea with them – this can provide

you with valuable feedback and can also save you time. In some cases they may tell you that they are not interested in the project that you were planning to submit but they may be interested in something else. You will also find out if their guidelines have recently changed and may be able to determine when the next trustee meeting will be held and similar nuggets of information. It is also your chance to make a good impression on them and inform them about your organisation and the great work that it is doing, over and above the project you are seeking funding for.

- Arrange a meeting to discuss the project – if you have time and it is feasible for both of you, this is an excellent way of presenting your organisation and your project. It does not guarantee that your project will get funded and can be daunting, but it is well worth the effort, because it will provide you with the opportunity to start a dialogue with the donor about what they are looking for, and start building a relationship.
- But note their guidelines! If they do not want to be contacted by phone – don't phone them! Some trusts and foundations make it clear that they do not want to meet applicants, nor do they make a phone number available, so there is no chance of building a personal relationship. This can be frustrating, but your only course of action is to write a clear letter of introduction and a project concept (or whatever they specify in their application guidelines) and request that they contact you. Some trusts and foundations say that they will not accept unsolicited applications; in most cases they really mean this and any application you send will end up in the bin. However, for some it just means that they will not accept full applications but that a Letter of Inquiry or a phone call would be acceptable.

*TIP: Always read your donor's guidance carefully – and follow it.*

### 3.2 Following up your grant application

There are two kinds of follow-up related to the writing of funding proposals. Firstly there is the “what's happening?” kind of follow-up, when you have submitted a proposal and waited some time for a response. Secondly, if you are fortunate enough to be successful in your application, there is the follow-up once you have secured a grant that helps to build strong and supportive ties between you and the donor.

### **If the donor has not responded, what is the appropriate way to deal with this?**

Make sure your proposal has arrived and been received by the donor. Then you wait. After a reasonable period of time (this should either be determined by when the donor indicated that you should expect a response or after about a month or six weeks), you should follow up the proposal. You could do this either:

- By telephoning the donor representative to ask how your application is doing, and by when you should expect a response; or
- By following up in writing to ask how your application is doing, and by when you should expect a response.

Such follow-ups should be politely worded and pleasant, persuasive rather than aggressive. Remember that the donor does not owe you anything. You cannot afford to get a reputation for being demanding or for treating donor grants as your right. Such a reputation travels quickly in donor circles and may make future applications less likely to be successful. You do not want to alienate the donor community.

### **Rejection of the application**

Even if the answer is 'No' at the end of the process, this does not mean that you have reached the end of your relationship with the donor. There are often good reasons for a rejection, and you are entitled to ask for those reasons. If they are not provided, some possible reasons for refusal include:

- The donor's criteria for giving grants are not met by your proposal
- The proposal is not seen as being in a priority area for the donor (geographical or issue priority)
- The proposal does not, for some reason, impress the representative who did the initial screening
- The donor does not have sufficient funds available at this time to support the proposal

If the donor provides information on why the project application was rejected, keep a record of this in the file on that donor, so that you or anyone else approaching the donor in the future is aware of why an application failed. The more you know about the reasons for refusal, the less likely you are to make the same mistake next time you apply for funding. Remember to do your homework. Sending an inappropriate proposal is a waste of everyone's time.

If the donor rejects the project application, it is essential that you acknowledge their decision in writing (by letter, not email), thanking them for their consideration. This gives professional closure from your side, leaves a favourable impression, and may make it easier to approach them in the future with another proposal. The letter should not be used to dispute their reasons for rejecting your proposal.

### **Acceptance of the application**

So you have approached the donor, sent a brilliant application and have now heard that the donor has approved the grant. Once you have patted yourself and everyone involved on the back for writing a good project application, more work begins!

From now on you need to build a strong relationship with this donor so that when the time comes, they might consider providing you with another grant for the project or a different project. Forming a good relationship with the donor is also important because donors network with one another and therefore if you treat the donor well and professionally, hopefully word will spread that your organisation will deliver what they say and is pleasant and easy to work with.

### **So what now?**

- Thank the donor for the positive response! Ideally a letter of thanks should come from the CEO and a member of the project staff. By approving your proposal the donor has shown that they value your work. You need to respond in a way that shows you value the donor's commitment and support.
- If the donor does not have any contract format, produce a short contract so that both you and the donor are clear about what is expected re: activities, financial and reporting requirements. Note: This is not always necessary for very small grants or where a foundation just makes a donation to 'general charitable' purposes.
- Ensure that the donor is on your mailing list to receive other information about your work, over and above the required reports; for example, newsletters or press releases. However, to avoid swamping them with spam it might be best to check that they are happy to receive such additional information.
- Keep the donor informed of any exceptional events relating to the project (good or bad) over and above the required reports.
- Invite donors to other special events that you feel they may be interested in.
- Invite donors to visit the project and other work your organisation is involved in

- so that they can see the positive impact of their financial support on the ground.
- Be available for meetings with representatives of the donor and be ready to answer questions, iron out any problems and explain details.

*TIP: Make sure that you know what the donor is hoping to get from their relationship with your organisation, and then provide it. In this way the donor/organisation relationship becomes a real partnership.*

### 3.3 Donor reports

These are critical to keep the donor happy. Often reporting requirements are part of the contractual agreement between you and the donor. As soon as you sign a contract, make a note of when reports are due. If you are not going to be the person responsible for writing the reports then you need to alert the project/programme staff about what is required by when, so the donor is not made to wait. Set mechanisms in place for collecting the information that will be required, or get others to do this if you are not managing the project. Ensure all documentation (technical and financial) that is required is kept for the specified time.

You need to ensure that reports are:

- On time
- Sent to the right person!
- Of excellent quality (get another person to check and correct if necessary)
- In the correct format (if specified) and containing all of the required information
- Provide more (not less) than the donor requests – but within limits, as too much can be just as irritating as too little
- Get feedback from the donor to ensure they are happy with the level of reporting
- It is best to speak to the donor directly if something has gone wrong or if the project activities have been changed. Most donors understand that things change, but they need to be informed.

*TIP: It is better to do this via the phone or face to face if possible, rather than sending potentially bad news in writing.*

Sending weak reports can damage your chance of getting future funds from that donor (and other donors). Worse still, it can damage the chance of your organisation ever receiving funds from that donor in the future. Donors have long memories!

Remember that by servicing your donors you create the potential for a long-term successful working relationship that hopefully will result in positive benefits for both you and the donor and further grants for your organisation.

### **3.4 Record-keeping**

It is critical to keep all records relating to a donor in good order. Records are likely to include funding applications, correspondence (email, telephone and paper), project reports, notes on the donor's interests, budgets, expectations, board members, deadlines, etc.

These records should be kept up to date and should include:

- Any changes in contact details or staff
- Any funding application approaches made
- Any funding application rejections
- Any phone calls, letters or meetings between the donor and your organisation's staff

You can use specific software programmes that are developed for this purpose, called Customer Relationship Management (CRM) software. Raiser's Edge is one of these programmes; Sales force automation is another.

Although all this sounds onerous, you have to be clear about how the relationship between the donor and your organisation is going, before making an approach. You will look very unprofessional if another staff member has already approached a particular donor earlier that month and you appear to know nothing about it. To prevent this potential problem as well as keeping good donor records, ideally there should be a Donor Relationship Manager or a Gatekeeper for that donor, i.e. one person within your organisation who manages the relationship with that particular donor.

#### **Donor Relationship Managers (or Gatekeepers)**

A Donor Relationship Manager or Gatekeeper is critical to ensure that an organisation benefits from any opportunity that a particular donor may present for providing financial support and advocacy for your work.

A Donor Relationship Manager should provide the interface between the donor and your organisation. This person should be able to provide guidance, facilitation and support for particular donors. Unless you work for a large organisation, it is likely that one member of staff will be the Donor Relationship Manager or Gatekeeper for all or most donors.

Specifically, Donor Relationship Managers (DRMs) are responsible for:

1. Informing your organisation of deadlines, opportunities and important developments for that particular donor
2. Supporting applications to that donor, even if only by reading through potential proposals or applications – because the DRM should have the best understanding of what ‘their’ donor is looking for
3. Co-ordinating multiple applications (where appropriate) to ensure that opportunities with ‘their’ donor are maximised and to ensure that if there are multiple applications going to a donor from your organisation, they do not compete with each other and are being submitted for the highest funding priorities
4. Keeping the donor informed about the organisation’s wider work (over and beyond the DRM’s own interests/work area)
5. Ensuring that the donor is kept happy; for example, chasing reports, or ensuring any issues or problems that the donor may have with your organisation are dealt with
6. Keeping up to date the records for that donor
7. Providing guidance to your organisation’s staff of the most appropriate projects to take forward to the donor, if asked

In some cases, especially with the larger donors where there are multiple grant lines (for example, the European Commission), different Donor Relationship Managers may be needed for different budget lines/programmes.

Having a DRM for a donor does not mean that the donor has no relationships with other staff. In many cases other staff will need to have direct contact with a donor (for example, project managers, finance staff); however, these staff should be told who the DRM is for the donor they are working with and ensure that DRM is copied into all correspondence so the DRM is aware of project progress with ‘their’ donor and can confirm their records are kept up to date.

### 3.5 Selling your project and your organisation

You have seen the importance of maintaining good donor relations, providing timely and excellent reports and keeping donors informed about the wider work of your organisation.

It is an excellent idea to compile a portfolio of projects/programmes that need funding and also to have a portfolio of successfully executed projects – for instance ‘fact sheets’ that describe successful work that your organisation has undertaken.

*TIP: Some organisations have a ‘project catalogue’ – which summarises all of the projects and programmes that require funding. One or two project summaries can be taken from it and sent out to appropriate donors, or the whole catalogue can be sent to a donor if requested. Such a project catalogue is also very useful for matching projects to donors.*

Be sure that you ‘sell’ your project and your organisation at every opportunity. Delivering the conservation objectives of your project and organisation is critical but so is letting everyone know about your successes, so that donors and the public at large will want to continue to support your work.



## Section 4

# Fundraising strategies

*This section provides a simple overview of producing fundraising strategies for your organisation or for your project. It looks at why there is a need for fundraising strategies, who should be involved in producing them, and how they can be further built on to produce more detailed plans identifying who has to undertake what by when to meet the financial targets that have been established.*

### General principles of fundraising strategies

- Involve key stakeholders, analyse your starting point, establish the scope of the strategy and your objectives and undertake a SWOT analysis
- Identify your current fundraising priorities
- Look at your current donor funding mix
- For each donor group, outline your current situation, financial targets you are hoping to raise from these groups, what actions are needed to meet the financial targets and who is responsible for implementing this work
- Establish a method to monitor progress and set a review date
- Diversify your donor mix to ensure that you minimise the risk of relying on too small a donor base
- Look at staff and other resources required to deliver the proposed plan or strategy in relation to your organisation's capacity and other priorities

### 4.1 What is a strategy?

A strategy is “all points along the route; the equipment and support needed and the timetable to get from a starting point to a determined destination”.

#### You need a strategy to:

- Determine your starting point

- Agree your destination
- Budget for your project/organisation
- Plan your financial approach
- Identify any staff or other resource gaps
- Set targets
- Monitor and evaluate your successes and failures and alter your approach accordingly
- Persuade a donor that you know what you are doing

Developing a fundraising strategy, whether for an organisation or for an individual project, is very similar to designing and managing a project; you need to have all of the stakeholders involved; you need to agree on what you are aiming to achieve, how long it is going to take and what resources will be required; you need to identify the person who will be responsible for writing it and who will be responsible for putting it into effect.

You also need to set up a framework of some kind to monitor your successes/ failures and alter the strategy accordingly.

## 4.2 Developing fundraising strategies for organisations

Fundraising strategies should include fundraising from institutions, from individuals, corporate fundraising, merchandising and sponsorship. It is critically important for whoever is raising the money to think of the bigger picture and to ensure that their fundraising dovetails with other (fundraising) requirements across the whole organisation. It is also key to ensure that the organisation's fundraising activities are co-ordinated and fall within a longer-term framework.

Before you start developing a strategy you need to consider what has been done in the past – has this exercise been undertaken previously; was it successful? If not why not, and what lessons can you learn from this?

The next question is who you need to involve in the process. Your organisation is likely to have a wealth of experience and expertise within on fundraising. If not, then try to approach individuals who are successful fundraisers from other organisations to help you with this exercise. If they are from a different charity sector (i.e. if your organisation's focus is on biodiversity and theirs is on child welfare), it is unlikely there will be any competition, so they will probably be happy to help. It is also important to have the people who will be part of the implementation of the

strategy, involved from early in the process so that they ‘buy in’ to what you are trying to achieve. These stakeholders may include directors, fundraisers, projects and finance staff.

### **The process of developing a fundraising strategy for organisations**

Before you start working on a fundraising strategy, you need to ensure that your organisation has a clear mission and vision and that all fundraising activities you undertake should underpin these.

1. The starting point is to identify where your organisation is right now in terms of its fundraising activities. Undertake a SWOT analysis for your organisation’s fundraising. The SWOT analysis needs to consider internal and external factors. Internal factors might include staff capabilities, current financial resources and forecasts, current donor base, information sources on donors. External factors might include competition, political frameworks, legal frameworks, public support and awareness for your cause and organisation. More information on undertaking a SWOT analysis can be found in Section 1.3 of this guide.
2. Then define where you want and need to be. You need to identify your fundraising priorities in the short term (next twelve months), medium term (twelve months to three years) and long term (three years to five years). Establish how much funding you require to cover your organisation’s overheads (for example, core staff, office costs, in fact all operating costs that your organisation needs to keep running that are not project-related). Establish how much money you require to cover your organisation’s priority projects. Ideally you should come up with three funding forecasts: shoestring, realistic and ideal.
3. Identify where the majority of your funding currently comes from. How diverse is it? What is the funding mix? Does it include membership fees/appeals/legacies/company donations/marketing activities/events/grants from institutions (trusts and foundations, bilaterals, multilaterals) etc. Are there any constraints/risks/anticipated changes in relation to your current/potential donors that you should be aware of? For each donor group (i.e. bilaterals and multilaterals, trusts and foundations, corporate donors, members, etc), outline your current situation, the financial targets you are hoping to raise from this donor group, what actions need to be undertaken to achieve this target and who is responsible for implementing this work. This exercise may also identify extra resources

(staff or materials) that are required to deliver the targets.

4. Use this exercise to brainstorm any ideas that you and other team members have in relation to funding and old/new funding sources. You can capture these ideas, assess them and include them if they seem valuable, even if they are not identified as the highest priorities.
5. Establish a framework to monitor the progress, successes and failures for each of the donor groups and allocate somebody to monitor and report back on this. Ideally your strategy should ensure that you have a good mix of donors; that is, different donor groups and a mix of current, past and new potential donors (see Section 4.4 below).
6. Develop a mechanism for the overall review and monitoring of the implementation of the strategy, including who will be doing the review, how, when, and how results will feed back into the strategy. Include the fundraising strategy in your organisation's strategic plan or business plan, so everybody can see that you have a coherent set of objectives and targets.

*TIP: Ensure that all of your project proposals have a component within them to cover your overheads, in addition to any project-related costs. Bear in mind that there are limits allowed by funders, but these vary.*

Figure 20 (see next page) is an example of what a fundraising strategy could look like.

### 4.3 Developing fundraising strategies for projects

Developing a fundraising strategy for projects is not overly different from developing a fundraising strategy for organisations, although obviously it is much simpler. It is still good to have all of the stakeholders involved in this process and to look at the history of the success (or otherwise) of fundraising for a particular project (or similar projects if it is a new project). The steps to take in developing a fundraising strategy for a project include:

1. Undertake a SWOT analysis for the project (see Section 1.3 of this guide for more information)
2. Determine how much money you require for the project by when

## Figure 20: Fundraising strategy

### Suggested format for a fundraising strategy document for organisations

#### Introduction

This should establish the scope of the document and set the scene, providing an organisational overview of what income currently comes from which donors, budget highlights and briefly provide any relevant historical background of what fundraising activities have worked for the organisation and which have not.

#### Staffing

This should outline which staff are responsible for what and any areas where these responsibilities overlap.

#### Fundraising priorities

These are likely to change over time, but it is still good to capture them as a 'reality check' on what you are aiming to/ or need to achieve to meet the funding requirements of the organisation and any projects that you are committed to.

#### Donor groups

For each donor group there should be

- An overview on what income that donor group brings, what opportunities and constraints there are with that group – for example, does this group provide unrestricted funding (that can be used for overheads and projects) or restricted funding (primarily for projects)?
- Financial targets and priority actions for each donor group and identify who is going to implement these.
- A vision – of where your organisation hopes to be with this particular group in five years' time.

#### Mechanism for review

A brief explanation should be provided on how this strategy is going to be monitored and reviewed to ensure that progress is evaluated.

3. Determine if you have any co-funding requirements/restrictions
4. Ensure that a component of project budget covers organisation overheads, over and above direct project costs (within a donor's allowances for this)
5. Prioritise donors to approach, and determine who is approaching which donor when. Make sure this fits within your organisation's overall fundraising strategy and inform your colleagues about your intentions; it may be that someone else is already approaching the donor for a different project. Ideally if there are Donor Relationship Managers (see Section 3.4) then they should be informed of any approach you plan to make.)

6. Ensure relevant feedback is incorporated into the strategy (obviously if you end up securing all of the funding you require for a project from one donor – this will mean a substantial revision in strategy!)

*TIP: Things to consider before identifying donors:*

- *The majority of organisations rely on a very small donor base – this is risky!*
- *It can take nearly as much work to put together applications and manage reports for a £20K grant as a £100K or £200K grant*

#### 4.4 From strategies to plans

This section, as with the rest of this guide, focuses on how to get the best from your institutional donors; the following points are less appropriate for individual donors, membership schemes or other forms of fundraising.

Although there is no official definition for a ‘fundraising strategy’ versus a ‘fundraising plan’, in this guide the fundraising strategy is taken to mean the overview – the big picture, the longer-term view, whereas a fundraising plan is the next step in the process – short-term, practical. To use an analogy, if you were selling a new product, you would work out your market, identify your competitors and broadly scope out how you were going to market, distribute and sell your product (this would be your ‘strategy’), but once you had done this you are likely to want to break this down even further in more detail with a shorter timescale (make a ‘plan’).

When you have your fundraising strategy developed, you can move onto drawing up a more detailed plan. The next steps are the same for both organisations and project fundraising plans. Now that you have established what funds you require, by when, for what, you can start identifying donors and draw up a fundraising plan.

#### Process

##### Step 1: Compile a donor hit list

For each of the donor groups you have identified (bilaterals/multilaterals, trusts and foundations, corporates, etc) note:

- Current donors (Hot)
- Past donors who have given within the last three years (Warm)
- Potential donors who give to similar causes to yours but have never given to you (Cold)

## **Step 2: Look through the compiled hit list and start matching potential donors to potential funding requirements**

Spreading the risk:

- Ideally have a mixture of Hot, Warm and Cold donors for each funding requirement
- Ideally you should decide how many new donors you hope to secure each year to compensate for any donors you lose through changes in their grants-giving policies or other circumstances
- Are any of the proposed projects particularly risky? If so, it may be better not to rely on your 'best' donor to fund this – unless you feel you can be honest about the risk
- Consider the list in Section 2.4 when matching donors to funding requirements

## **Step 3: Draw up a calendar of action**

This will be dictated by:

- Fundraising priorities
- When the funding is required
- Donor deadlines
- Donor lead-in time from application to funding
- Organisational resources (time and money)

## **Step 4: Look at staff resources to deliver proposed fundraising plan in relation to other priorities**

The required staff time to execute the plan will depend on a variety of factors, including:

- Current relationships you have with the proposed list of donors. Approaching Hot donors is likely to take less time and work than approaching a Cold donor – unless it is a large multilateral
- Current information that you have on proposed donors – do you need to invest in research?
- Experience and capability of staff
- How well the proposed funding requests match donor criteria
- Whether you work in partnerships with other organisations (this can be time-consuming)

**Figure 21: Fundraising plan**

Donor	Project	Amount to request	Deadline	Action required	Who	Results
Hot						
Warm						
Cold						

The table on the preceding page presents a very simple form that you might wish to adapt. It can capture the most relevant information on which donors are being approached, for what, by whom. It also provides a mechanism for capturing application successes and failures. You can start your plan with the list of donors, but you can also use your projects and funding needs as a starting point (i.e. as the first column of your plan).

*TIP: Although planning is critical, the reality is that sometimes, good opportunities arise at quite short notice and fundraisers inevitably have to be partly reactive and opportunistic. This is why it is important to have a clear idea of which are the most important funding priorities and that you have some project concepts worked up at all times (for example, following the 'project catalogue' idea). These basic concepts can then be developed and tailored relatively easily for opportunities that come 'out of the blue'.*



## *Appendix 1* **Other fundraising resources**

This guide is a basic ‘toolkit’ to use for fundraising from institutional donors. However, it cannot possibly convey all you need to know – much of which will only come from experience, through successes and failures. If you wish to learn more or see fundraising from another angle, this resource section will provide you with some more references, tools and background information.

### **Useful websites providing fundraising resources**

#### **[www.conservationleadershipprogramme.org/ProjectManuals.asp](http://www.conservationleadershipprogramme.org/ProjectManuals.asp)**

This link will bring you to the ‘Conservation Project Manual’ that Fauna & Flora International, BirdLife International and the RSPB (BirdLife in the UK) developed a few years ago. The manual aims to help people to improve the process by which they go about planning and managing small to medium-sized conservation projects. By using a number of tried and tested methods and illustrative examples, this resource enables users to work through their own concepts and create a project plan. It is available in five different languages.

#### **[www.fundsforngos.org](http://www.fundsforngos.org)**

A free email service with information on grants and resources for sustainability, sends daily updates about funding opportunities for NGOs, and organises webinars on fundraising from various types of donors. An absolute must to subscribe to!

#### **[www.terravivagrants.org](http://www.terravivagrants.org)**

The Terra Viva Grants Directory develops and manages information about grants for agriculture, energy, environment, and natural resources in the world’s developing countries. It also produces profiles of over 400 grantmakers, with regional coverage for the developing world. It sends out monthly funding news (subscribe to this!), including application deadlines by months, subject areas, and forms of grant support. It also gives links and resources for grant-seekers.

**[www.chapel-york.com](http://www.chapel-york.com)**

Chapel and York (UK) provides a range of books, Grantmakers directories, courses and CDs on all aspects of fundraising and offers several databases of donors and search engines that you can subscribe to for an annual fee. They can also set you up as a 501(c)3 American Charity, which will allow you to access American Foundation grants and gifts from US individuals and corporations.

**<http://foundationcenter.org>**

The Foundation Center (based in the USA) also offers an array of publications, courses (some of these are available online and in several different languages) and databases of donors that you can subscribe to.

**[www.dsc.org.uk/Home](http://www.dsc.org.uk/Home)**

The UK-oriented Directory of Social Change provides a range of books, Grantmakers directories, fundraising courses and CDs on all aspects of fundraising, project management and organisational management.

**[www.conservationfinance.org](http://www.conservationfinance.org)**

The Conservation Finance Alliance was created to catalyse increased and sustainable public and private financing for biodiversity conservation to support the effective implementation of global commitments to conservation. It provides various services including grant, job and training opportunities.

**[www.guidestar.org/about](http://www.guidestar.org/about)**

GuideStar is an American initiative to revolutionise philanthropy and non-profit practice by providing information that advances transparency, enables users to make better decisions, and encourages charitable giving. They offer free access for basic services, but you need to subscribe for more detailed information searches on donors.

**[www.ccfbest.org/fundraising](http://www.ccfbest.org/fundraising)**

A very interesting collection of articles with all sorts of best practices in fundraising, planning, proposal writing, and almost everything else.



## *Appendix 2* **Additional examples**

This appendix provides additional examples for the various tools discussed in this book:

**Appendix 2.1: stakeholder analysis**

**Appendix 2.2: SWOT analysis**

**Appendix 2.3: problem tree**

**Appendix 2.4: objective tree**

**Appendix 2.5: logical framework**

**Appendix 2.6: Gantt chart**

**Appendix 2.7: fundraising plans**

**Appendix 2.8: a complete set of tools (from 1-6) for one example project, showing the links between the various tools**

For examples of successful small grant proposals in the field of biodiversity conservation, you can look at <http://sgp.undp.org> for all small grant projects (worldwide) that are funded by the Global Environment Facility (GEF).

## 2.1 Example of a stakeholder analysis (opposite)

This is a stakeholder analysis for a case study (not based on a real situation) where the main cause of death (in Wagaboogoo village) is due to water-borne diseases (cholera and typhoid). The villagers collect their supplies of water from the river, 3km away.

## 2.2 Example of a SWOT analysis

This is an example of a simple SWOT analysis for a small team thinking about a project involving turtle conservation, biodiversity surveys and education.



## 2.1 Example of a stakeholder analysis

Stakeholder	Characteristics	Main interests	Impact on situation	Interests, fears, expectations	Role in relation to project	Potential impact	Recommendations	Priority
Donor agencies	Provide regulated funds	Serving a cause	Ensure implementation of the project	Money not managed efficiently	Support	Highly critical		*****
Local Government	Locally elected admin bodies	Control of disease in the local area	Partially responsible for the situation	I: Solve the problem F: Uncover former mistakes E: Credit for project	Supporter of the project	Highly critical	Clearly involved in the project from the early stages to facilitate project implementation	***
Governmental agencies	Regulatory	Responsible for well-being	Minimal impact	Politically driven Reactive	Wagaboogo task force	High	Must be engaged in some way	***
Wagaboogo residents	People who live in the village (and work)	To survive	Impacted by it... May also be part of problem	I: To survive F: Changes E: It will help	Workers, participants Management	Highly critical	Their interest is a project goal	***
Chief of Wagaboogo	The most respected leads local community	Keep village alive	Local decision maker	Should be positive and supportive	Mediator between the project and people	High/critical	Meet and get to know him	***
Evian	Commercial bottled water company	Profit and brand	None	How can we benefit?	Wait and see who else gets involved	High – Short term water, Long term money	Involve them early	***

### 2.3 Example of a problem tree

Based on a simplified non-existing situation in the region of 'Terra-lush'.

#### EFFECTS



#### FOCAL PROBLEM

Loss of forest extent and biodiversity in the region of Terra-lush

#### CAUSES



## 2.4 Example of an objective tree

Derived from the problem tree in annex 2.3 for the region of 'Terra-lush'.

### ENDS

There is no further reduction in extent or quality of forest in the region of Terra-lush

### MEANS

Functional management and control systems exist

Communities have the ability to use their resources sustainably

Critical biodiversity areas are protected

Government personnel have skills necessary to support forest management

Community institutions can effectively manage their forests

Value of forests to local people is increased

Communities have skills and knowledge of sustainable production methods

Highest biodiversity sites are identified

### MEANS

## 2.5 Example of a logical framework

This is an example of a logical framework for a Darwin Initiative-funded BirdLife project in the Caribbean.

Project summary	Measurable Indicators (OVIs)	Means of Verification (MoVs)	Important Assumptions
<p><b>Goal:</b> To draw on expertise relevant to biodiversity from within the United Kingdom to work with local partners in countries rich in biodiversity but poor in resources to achieve:</p> <ul style="list-style-type: none"> <li>• the conservation of biological diversity,</li> <li>• the sustainable use of its components, and</li> <li>• the fair and equitable sharing of benefits arising out of the utilisation of genetic resources</li> </ul>			
<p><b>Purpose</b></p>			
<p>Conservation status of Globally Threatened Birds (GTBs) in the Caribbean enhanced through a coherent, sustainable program of strategically planned species action, capacity development and training, advocacy and awareness, and information sharing implemented by a stakeholder network</p>	<ul style="list-style-type: none"> <li>• Evidence of more conservation actions focused on more GTBs by more people</li> <li>• Clearing House Mechanism (CHM) being used by full range of stakeholders</li> <li>• Evidence of national legislation and government actions, and regional conventions making explicit provision for GTBs</li> </ul>	<ul style="list-style-type: none"> <li>• Annual monitoring GTB activities</li> <li>• "Hits", user log, feedback forms</li> <li>• SPAW Protocol Annexes; National legislation; information and recommendations applied in development and land-use decisions</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholders understand and incorporate information into their work areas</li> <li>• Government, local NGOs and other institutions attract additional support to maintain project activities</li> </ul>
<p><b>Outputs</b> *(superscript numbers refer to the CBD Articles that the output contributes to)</p>			
<p>1. Network of individuals and supporting organisations in the Caribbean established, effectively communicating and co-operating and working on issues of species-based biodiversity conservation<sup>5</sup></p>	<p><b>Darwin Caribbean Network</b> including <b>Species Guardians</b> (for 54 GTBs), <b>Site Support Groups</b> (10 sites with GTBs), <b>10 National Partners</b>; egroup subscribers, traffic; newsletter recipients</p>	<ul style="list-style-type: none"> <li>• Stakeholders included as members and recipients</li> <li>• No. of people reached through distributing materials</li> <li>• Email traffic</li> </ul>	<p>Stakeholders willing to collaborate, communicate in open forum, and contribute information</p>

<p>2. Strengthened technical and institutional capacities of Darwin Caribbean Network<sup>12</sup></p>	<p>25+ <b>Darwin Caribbean Network</b> members from 10+ countries trained (as trainers) in strategic planning, project design, survey, monitoring, policy/advocacy, fundraising</p>	<ul style="list-style-type: none"> <li>• Participants' attendance and assessment records</li> </ul>	<ul style="list-style-type: none"> <li>• Staff continue in present employment/activities after training</li> <li>• Effective skill transfer happens (trainees train)</li> </ul>
<p>3. Priority conservation actions for Caribbean Globally Threatened Birds (GTBs), and related sustainable livelihood options identified, acted upon and monitored<sup>7,8,10</sup></p>	<p><b>Caribbean GTB Conservation Strategy</b>; 3 <b>national GTB strategies</b> (+ sustainable livelihood options); 10 participatory <b>Species Action Plans</b> (+ livelihood options); field research, targeted action (10 GTBs); annual <b>Status, Pressure, Response</b> data</p>	<ul style="list-style-type: none"> <li>• Feedback from stakeholders on value, quality &amp; utility of outputs</li> <li>• Reports on actions taken</li> <li>• Annual monitoring reports</li> </ul>	<ul style="list-style-type: none"> <li>• Sufficient baseline material available</li> <li>• Sufficient capacity to undertake actions and monitoring</li> <li>• Effective inter-institutional collaboration</li> </ul>
<p>4. CHM in place facilitating the exchange, analysis, dissemination and use of GTB information across the stakeholder network (designed to include site and habitat information)<sup>17</sup></p>	<ul style="list-style-type: none"> <li>• <b>Darwin CaribNet</b> CHM website for GTB conservation visited by all stakeholders</li> <li>• Species and action fact sheets produced</li> <li>• Darwin Caribbean Network directory, GIS and databases</li> </ul>	<ul style="list-style-type: none"> <li>• User feedback providing quality and content assessment</li> <li>• No. "hits", type of users</li> <li>• Materials produced</li> <li>• Online Databases, directories</li> </ul>	<p>Project staff sufficiently trained/experienced to design and implement high quality CHM and resource materials</p>
<p>5. Improved national, regional and international awareness and appreciation of the importance and plight of GTBs in the Caribbean<sup>3</sup></p>	<ul style="list-style-type: none"> <li>• Resource/awareness materials distributed</li> <li>• National/regional media coverage/publicity</li> <li>• Annual Caribbean Endemic Bird Festivals with GTB themes</li> </ul>	<ul style="list-style-type: none"> <li>• Resource/awareness material distribution lists</li> <li>• Media coverage achieved</li> <li>• No. Festival participants</li> </ul>	<ul style="list-style-type: none"> <li>• Stakeholders willing to distribute materials to the public</li> <li>• Public receptive to awareness materials</li> </ul>

Project summary	Measurable Indicators (OVIs)	Means of Verification (MoVs)	Important Assumptions
<p><b>Outputs</b> * (superscript numbers refer to the CBD Articles that the output contributes to)</p> <p>6. High level political recognition of GTBs (policy and legislation) in national and regional forums<sup>6</sup></p>	<ul style="list-style-type: none"> <li>• Legislative mechanisms incorporating GTBs (3+ countries)</li> <li>• SPAW Annexes including all GTBs; annual status reports</li> <li>• GTBs mainstreamed into wider sectoral plans and policies</li> </ul>	<ul style="list-style-type: none"> <li>• Government departments/ ministries and papers</li> <li>• SPAW Protocol annual workplan and reports of COPs and STAC meetings</li> </ul>	<ul style="list-style-type: none"> <li>• SPAW willing to list/report on Annex additions</li> <li>• Legislative framework exists for GTB inclusion</li> <li>• Governments amenable to amendments</li> </ul>
<p><b>Activities</b></p> <p>Creation of Darwin Caribbean Network and strengthening its institutional and technical capacity</p>	<p><b>Activity Milestones</b></p> <ul style="list-style-type: none"> <li>• Project planning workshop (Aug 07)</li> <li>• Strategic planning/ Species Action Planning workshop (Jan-Mar 08)</li> <li>• Field survey and research training (Oct-Dec 08)</li> <li>• Mentoring scheme established (Dec 07)</li> <li>• Monitoring project design and implementation workshop (Oct-Dec 08)</li> <li>• Fundraising, lobbying/ advocacy training (Jul-Sep 09)</li> </ul>		<p><b>Assumptions</b></p> <p>Stakeholders willing to communicate; capacity is built in these ways</p>
<p>Identification of priority actions for GTBs, status monitoring, GTB action plan development and implementation</p>	<ul style="list-style-type: none"> <li>• Current information reviewed and documented (Oct-Dec 07)</li> <li>• Caribbean GTB Conservation Strategy workshop and training seminar (Aug-Sep 07)</li> <li>• Caribbean GTB strategy published (Apr-Jun 08)</li> <li>• 3 National GTB strategy workshops (Jul-Sep 08)</li> <li>• 10 National GTB action planning workshops (Jul-Sep 08)</li> <li>• 10 Species Action Plans published (by Oct-Dec 09)</li> <li>• Baseline monitoring results (Jan-Mar 09)</li> <li>• Some actions taken (Apr-Jun 10)</li> </ul>		<p>Sufficient knowledge exists; sufficient in-country human resources exist</p>

Activities	Activity Milestones	Assumptions
<p>Develop Darwin CaribNet CHM and information resources, and instigate publicity, awareness and advocacy initiatives</p>	<ul style="list-style-type: none"> <li>• Project launch (Aug 07)</li> <li>• CHM launch on-line (Jan-Mar 08)</li> <li>• Species fact sheets and database (Jan-Mar 08), maps (Jan-Mar 10) and 1st version of expert directory (Jan-Mar 08) online</li> <li>• Species Action Plans on-line (by Oct-Dec 09)</li> <li>• 20 Species conservation and management fact-sheets (by Apr-Jun 10)</li> <li>• Listserver established (Aug-Sep 07)</li> <li>• 1st newsletter (Oct-Dec 07)</li> <li>• CEBF materials (April 08-10)</li> <li>• Government department seminars in 6 countries (starting Jul-Sep 09)</li> <li>• GTB status/monitoring seminars at SPAW COPs (starting Oct 07)</li> <li>• Press coverage (Sept 07-July 10)</li> </ul>	<p>Stakeholders willing to share information; CHM is an effective way of sharing information; awareness raised in these ways</p>
<p>Project management, monitoring and evaluation</p>	<ul style="list-style-type: none"> <li>• Project development meetings (Aug 07, Jan-Mar 08, Jul-Sep 08, Jan-Mar 09, Jul-Sep 09, Jan-Mar 10)</li> <li>• Annual GTB status and monitoring results to SPAW</li> <li>• Training course evaluations (Jan 08, Jan 09)</li> <li>• Reports to Darwin (Mar 08-Jul 10)</li> <li>• Annual project evaluation</li> </ul>	<p>Monitoring and evaluation mechanisms are appropriate</p>

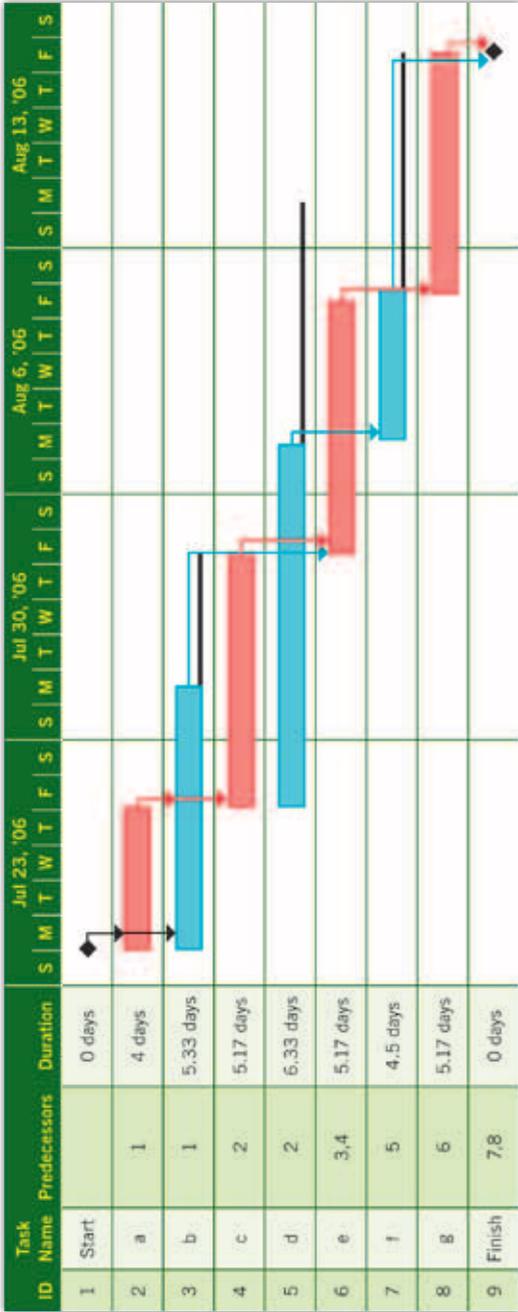
## 2.6 Example of a Gantt chart

This example comes from the Wikipedia entry on Gantt charts: [http://en.wikipedia.org/wiki/Gantt\\_chart](http://en.wikipedia.org/wiki/Gantt_chart)

In this example there are seven tasks, broken down into a ‘work breakdown structure’. They are labeled A through G. Some tasks can be done concurrently (A and B) while others cannot be done until their predecessor task is complete (C cannot begin until A is complete). Additionally, each task has three time estimates: the optimistic time estimate (O), the most likely or normal time estimate (M), and the pessimistic time estimate (P). The expected time (TE) is computed using the formula  $(O + 4M + P) \div 6$ .

Activity Predecessor		Time estimates			Expected time
		Opt. (O)	Normal. (N)	Pess. (P)	
A	-	2	4	6	4.00
B	-	3	5	9	5.33
C	A	4	5	7	5.17
D	A	4	6	10	6.33
E	B,C	4	5	7	5.17
F	D	3	4	8	4.50
G	E	3	5	8	5.17

Once this step is complete, one can draw a Gantt chart, as shown on the next page.



A Gantt chart created using Microsoft Project (MSP). Note (1) the critical path is in red, (2) the slack is the black lines connected to non-critical activities, (3) since Saturday and Sunday are not work days and are thus excluded from the schedule, some bars on the Gantt chart are longer if they cut through a weekend.

From [http://en.wikipedia.org/wiki/Gantt\\_chart](http://en.wikipedia.org/wiki/Gantt_chart), accessed April 2012

## 2.7 Examples of fundraising plans

A simple fundraising plan (table) for the first quarter of the year. NB the donors listed here are imaginary.

Grant	Potential projects	Grant value	Submission deadlines	Who lead?
<b>JANUARY</b>				
Bloggs Bird Foundation <a href="http://www.bloggsbirds.org">www.bloggsbirds.org</a>	Araripe	\$5000	By end of January	PM
<b>FEBRUARY</b>				
Childs and Childs Charitable Trust <a href="http://www.childsandchilds.org">www.childsandchilds.org</a>	Boa Nova	Maximum: US \$2000	11 February	JN
Spreadbury Foundation <a href="http://www.spreadbury.org">www.spreadbury.org</a>	Boa Nova	Three Latin American Awards (maximum \$1500 each) will be awarded annually	15 February 2005	JN
<b>MARCH</b>				
Allsop Fund <a href="http://www.allsofund.org">www.allsofund.org</a>	Pindobas	Up to R\$60,000	31 March and 31 August	CN
<b>APRIL</b>				
Canessa Institution <a href="http://www.cannessacharitabletrust.org">www.cannessacharitabletrust.org</a>	Parque Nacional de Saint Hilaire or the area of <i>Phylloscartes roquettei</i>	Scholarship of US\$78,000 paid in two installments. Each Honorable Mention winner will receive a one-time scholarship of US\$1000.	2 May	JN

Grant	Potential Projects	Grant Value	Submission Deadlines	Who Lead?
<b>MAY</b>				
Sally Roberts Memorial Fund <a href="http://www.sallyrobertsmemorial.org">www.sallyrobertsmemorial.org</a>	Boa Nova	\$1000 (maximum annual request)	1 June	JN
<b>JUNE</b>				
Thomas Corrie Foundation <a href="http://www.thomascorriefoundation.org">www.thomascorriefoundation.org</a>	Grasslands	Awards vary from \$1000 to \$25,000 with the average award being \$11,000	1 July	VW
Black and White Corporation Fund <a href="http://www.blackandwhitecorporationfund.com">www.blackandwhitecorporationfund.com</a>	Massambaba	Up to £5000. Winners may also apply for a Continuation Grant of up to £5000.	Applications can be made at any time of the year and are reviewed at the end of January and July.	CN

A second example of an imaginary fundraising plan uses a system for prioritising approaches; if time or resources prove short, the focus should be on the 'hot' (current) donors.

Donor	Project	Amount to request	Deadline	Action required	Who	Results
<b>Hot</b>						
<b>Lambertini Foundation</b>	Community and forest project	US\$20,000	January 09	Check on current project funded, phone to discuss project with donor before submitting application	MM	
<b>White Charitable Trust</b>	Turtle Conservation	US\$500,000	June 08	Check on current project funded, phone to discuss project, arrange meeting before submitting application if decided appropriate	DD	
<b>Canessa Institution</b>	Community Environment Education	US\$150,000	July 08	Check on current projects funded, phone to discuss project arrange meeting	MM	
<b>Warm</b>						
<b>Hendley Charitable Foundation</b>	Seabird protection project	US\$5000	September 08	Check on past projects supported by them. Check guidelines to ensure criteria still match, phone call before sending application	CP	

Donor	Project	Amount to request	Deadline	Action required	Who	Results
<b>Warm</b>						
<b>Childs &amp; Childs Charitable Trust</b>	Rat eradication programme	US\$200,000	September	Check which projects they have supported. Check guidelines to ensure criteria still match, phone to arrange a meeting with Trustees if possible	MM	
<b>Cold</b>						
<b>Pridham &amp; Corrie Charitable Trust</b>	Community forest conservation project	US\$1,000,000	Jan 09	Check what other conservation orgs they support, what other forest projects they support, check their criteria. Contact them by phone, send information and try to organise a meeting with them before sending application as appropriate	DD	
<b>Allsop Foundation</b>	Education	US\$50,000	October 08	Check what education projects they support, check their criteria, phone them before sending application	DD	
<b>Banks Charitable Trust</b>	Wetland conservation	US\$2,000,000	November 08	Check what other wetland projects they support, contact them and arrange a meeting	MM	

## 2.8 The links between the various tools

This section aims to show the links between the stakeholder analysis, the SWOT analysis, the problem tree, the objective tree, the logical framework and the Gantt chart. It is derived from the European Community's Project Cycle Management guidelines. For more information (and the rest of the guidelines), see [http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid\\_adm\\_pcm\\_guidelines\\_2004\\_en.pdf](http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid_adm_pcm_guidelines_2004_en.pdf)

The example describes a proposed project tackling river pollution.

### Stakeholder analysis (opposite page)

The stakeholder analysis uses a slightly different approach from what is presented in the guide; stakeholders are not ranked but their interests and possible actions are noted.

Stakeholder and basic characteristics	Interests and how affected by the problem(s)	Capacity and motivation to bring about change	Possible actions to address stakeholder interests
<p><b>Fishing families:</b> c. 20,000 families, low income earners, small scale family businesses, organised into informal co-operatives, women actively involved in fish processing and marketing</p>	<ul style="list-style-type: none"> <li>• Maintain and improve their means of livelihood</li> <li>• Pollution is affecting volume and quality of catch</li> <li>• Family health is suffering, particularly children and mothers</li> </ul>	<ul style="list-style-type: none"> <li>• Keen interest in pollution control measures</li> <li>• Limited political influence given weak organisational structure</li> </ul>	<ul style="list-style-type: none"> <li>• Support capacity to organise and lobby</li> <li>• Implement industry pollution control measures</li> <li>• Identify/develop alternative income sources for women and men</li> </ul>
<p><b>Industry X:</b> Large scale industrial operation, poorly regulated and no unions, influential lobby group, poor environmental record</p>	<ul style="list-style-type: none"> <li>• Maintain/increase profits</li> <li>• Some concern about public image</li> <li>• Concern about costs if environmental regulations enforced</li> </ul>	<ul style="list-style-type: none"> <li>• Have financial and technical resources to employ new cleaner technologies</li> <li>• Limited current motivation to change</li> </ul>	<ul style="list-style-type: none"> <li>• Raise their awareness of social and environmental impact</li> <li>• Mobilise political pressure to influence industry behaviour</li> <li>• Strengthen and enforce environmental laws</li> </ul>
<p><b>Households:</b> c. 150,000 households discharge waste and wastewater into river, also source some drinking water and eat fish from the river</p>	<ul style="list-style-type: none"> <li>• Aware of industrial pollution and impact on water quality</li> <li>• Want to dispose of own waste away from the household</li> <li>• Want access to clean water</li> </ul>	<ul style="list-style-type: none"> <li>• Limited understanding of the health impact of their own waste/wastewater disposal</li> <li>• Potential to lobby government bodies more effectively</li> <li>• Appear willing to pay for improved waste management services</li> </ul>	<ul style="list-style-type: none"> <li>• Raise awareness of households as to implications of their own waste disposal practices</li> <li>• Work with communities and local government on addressing water and sanitation issues</li> </ul>
<p><b>Environmental protection agency:</b> etc</p>	<p>etc</p>	<p>etc</p>	<p>etc</p>

## SWOT

For this same project, a SWOT analysis was carried out for the fishing co-operatives (the first row in the stakeholder analysis) who are expected to participate in this project, in order to see in how far they represent their members' interests and are able to manage change:

### STRENGTHS

- Grassroots-based and quite broad membership
- Focused on the specific concerns of a relatively homogenous group
- Men and women both represented
- Provide a basic small-scale credit facility

### WEAKNESSES

- Limited lobbying capacity and environmental management skills
- Lack of formal constitutions and unclear legal status
- Weak linkages with other organisations
- Internal disagreements on limiting fishing effort in response to declining fish stocks

### OPPORTUNITIES

- Growing public/political concern over health impacts of uncontrolled waste disposal
- New government legislation in preparation on Environmental Protection – largely focused on making polluters pay
- The river is potentially rich in resources for local consumption and sale
- New markets for fish and fish products developing as a result of improved transport infrastructure to nearby population centres

### THREATS

- Political influence of industrial lobby groups who are opposed to tighter environmental protection laws (namely waste disposal)
- New environmental protection legislation may impact on access to traditional fishing grounds and the fishing methods that can be employed

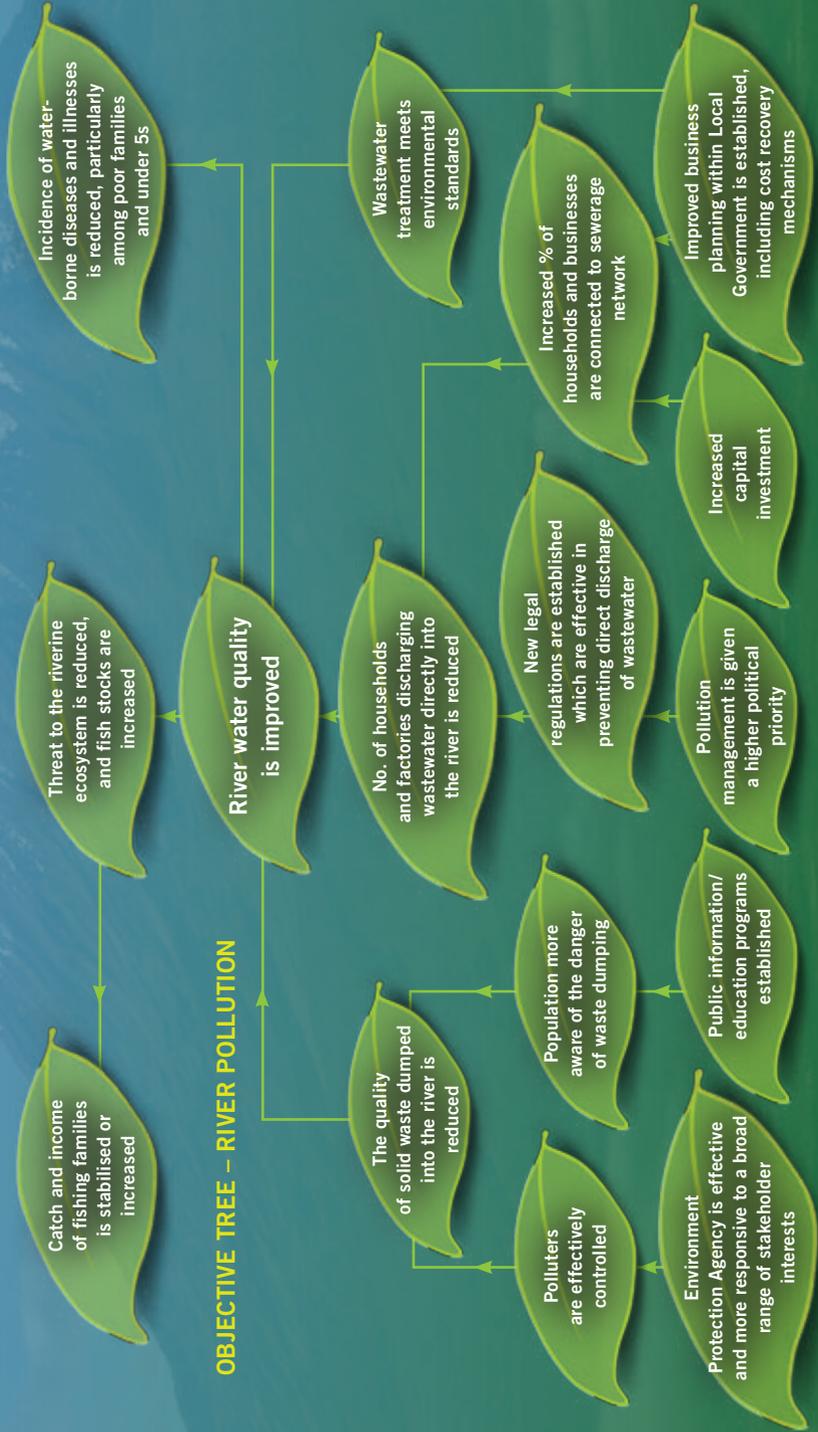
## Problem analysis

The stakeholders as identified in the stakeholder analysis (including the fishing co-operatives) organised a workshop and developed the following problem tree:



## Objective tree

Next, they translated the problems from the problem tree into 'objectives' describing the desired situation:



## Logical framework

Knowing what the objectives are, and after deciding which aspects of the objective tree the project will address, the project team developed the logical framework – or the intervention strategy – for the project. (NB: the logframe on the next page is incomplete – it is for example purposes only.)

## Gantt chart

A five-year project is planned to achieve the objectives. The example below is a part of a detailed Gantt chart for the first project result in the first year:

Year 1	Semester 1						Semester 2						Implementing body
Results and indicative activities	M1	2	3	4	5	6	7	8	9	10	11	12	
<b>1.1 Reduced volume of wastewater directly discharged into the river system</b>													
<b>ACTIVITIES</b>													
1.1 Conduct baseline survey of households and business													Contract to Local Government
1.1.2 Complete engineering specifications for expanded sewerage network													Contractor to local Civil Works
1.1.3 Prepare tender documents, tender and select contractor													Dept of Civil Works
1.1.4 Implement and monitor capital works													Dept of Civil Works, implementing NGO
1.1.5 Identify appropriate incentives for factories to use clean technologies													EPA and business
1.1.6 Design and implement incentive programme													EPA and local business
1.1.7 Prepare and deliver public information and awareness campaign on wastewater disposal													Local Government and implementing NGO
1.1.8 etc													

Project description	Indicators	Means of Verification	Assumptions
<p><b>Overall objective:</b> To contribute to improved family health, particularly the under 5s, and to improve the general health of the riverine ecosystem</p>	Incidence of water-borne diseases, skin infections and blood disorders caused by heavy metals, reduced by 50% by 2008, specifically among low-income families living along the river	Municipal hospital and clinic records, including maternal and child health records collected by mobile MCH teams. Results summarised in an Annual State of the Environment report by the EPA	
<p><b>Purpose:</b> Improved quality of river water</p>	Concentration of heavy metal compounds (Pb, Cd, Hg) and untreated sewerage, reduced by 25% (compared to levels in 2003) and meets established national health/pollution control standards by end of 2007	Weekly water quality surveys, jointly conducted by the Environmental Protection Agency and the River Authority, and reported monthly to the Local Government Minister for Environment (Chair of Project Steering Committee)	<ul style="list-style-type: none"> <li>• Public awareness campaign conducted by the Local Government impacts positively on families' sanitation and hygiene practices</li> <li>• Fishing co-operatives are effective in limiting their members' exploitation of fish 'nursery' areas</li> </ul>
<p><b>Result 1:</b> Reduced volume of wastewater directly discharged into the river system by households and factories</p>	70% of wastewater produced by factories and 80% of wastewater produced by households is treated in plants by 2006	Annual sample survey of households and factories conducted by Municipalities between 2003 and 2006	<ul style="list-style-type: none"> <li>• River flows maintained above X mega litres per second for at least 8 months of the year</li> <li>• Upstream water quality remains stable</li> </ul>
<p><b>Result 2:</b> Wastewater treatment standards established and effectively enforced</p>	Wastewater from 4 existing treatment plants meets EPS quality standards (heavy metals and sewerage content) by 2005	EPA audits (using revised standards and improved audit methods), conducted quarterly and reported to Project Steering Committee	EPA is successful in reducing solid waste disposal levels by factories from X to X tons per year
etc			

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### About the Authors

**Maaïke Manten** has been a BirdLife International fundraiser for more than eleven years: two in Cambridge, UK, followed by five years in Nairobi, Kenya and three years in Suva, Fiji. Since October 2010 she is back in Kenya working with the BirdLife International Africa Partnership Secretariat. She is also the director of Wananavu Works, a company specialised in fundraising training and support. Maaïke has worked and trained people in Africa, Asia, Europe, Latin America and the Pacific.

**Caroline Pridham** has worked in conservation fundraising for over ten years; a year raising money and managing community forestry projects in West and East Africa and nine years working for BirdLife International. Her focus has been working with institutional donors, including trusts and foundations, bi-lateral and multi-lateral agencies. She has run and supported fundraising training workshops in the Pacific, the Caribbean and Europe. Caroline studied Zoology at Bristol University before taking a Masters degree in Forestry, land use and policy at Oxford University.

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### Photo credits

Cover photograph of African children in Kinangop, Kenya by Maaïke Manten; inside front cover photograph of Solomon Islanders using the first edition of the fundraising guide, by Deborah Sue; background image on front and back cover and pages 22-23, courtesy BirdLife International. All other images by Fabian Haas.



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- **The Conservation Leadership Programme** – a partnership of BirdLife International, Conservation International, Fauna & Flora International and the Wildlife Conservation Society, working to promote the development of future biodiversity conservation leaders by providing a range of awards, training and mentoring support via an active international network of practitioners.
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