

# GUIDELINES: GRANT ASSISTANCE FOR GRASSROOTS HUMAN SECURITY PROJECTS (GAP)

Embassy of Japan in New Zealand

## **ELIGIBLE RECIPIENTS**

*The Embassy of Japan in New Zealand accepts applications from the following organisations in the Cook Islands:*

- (1) Non-government organisations (NGOs);
- (2) Local government units (LGUs); and
- (3) Public schools, educational, research and medical institutes.

## **PROJECT AREAS**

Japan's GAP aims to aid self-supporting socio-economic development activities that benefit sectors at the grassroots level in the Cook Islands. The projects that fall within the following areas can be assisted:

- (1) Meeting Basic Human Needs
  - (a) Health and Medical Care
    - Upgrading of health stations and units, and hospitals in rural areas and in strategic outlying areas
    - Maternal and Child Health, Family Planning or Reproductive Health in areas with high fertility rates
  - (b) Potable Water
    - Water system development in rural areas with no access to water
    - Water quality improvement in areas with high incidence of water-borne diseases
- (2) Social Welfare
  - Welfare and empowerment of marginalised sectors (children, elderly, indigenous people, persons with disabilities, women, etc)
- (3) Basic Education and Human Resource Development
  - (a) Building and repairing school buildings in rural areas and schools with poor educational environment
  - (b) Building and repairing training centre buildings for human resource development and community development
- (4) Environmental Protection/Disaster Relief
  - (a) Community-Based Resource Management
    - Coastal Resource Management
    - Agro-Forestry/Reforestation

- Biodiversity Conservation
  - Solid Waste Management
- (b) Disaster Relief (for internally displaced people and victims of natural disaster)

### **GRANT AMOUNT**

Japan's GAP grant would be capped a 10 million Japanese yen (approximately NZ\$ 156,000 in FY 2011) per project.

### **CONTENTS OF ASSISTANCE**

*Japan's GAP grant **can** be used mainly to do the following:*

- (1) Purchase equipment, supplies, or machines for the project implementation;  
*Note: vehicles and personal computers are not among GAP priorities.*
- (2) Construct buildings or undertake small-scale infrastructure projects; and

*Under the above main components, examples of overhead costs that **can** be supported are:*

- (1) Expenses related to hiring individuals exclusively for the implementation of the project (excludes salary for regular staff);
- (2) Expenses related to hiring professionals for technical transfer e.g., engineers to train an organisation's staff in the operation of machines purchased from GAP funds;
- (3) Expenses related to facilitating the convening of conferences or seminars through the following:
  - (a) Providing accommodations, transportation, and honoraria for resource persons or lecturers;
  - (b) Covering rental costs for conferences and equipment (such as audio-visual aids); and
  - (c) Covering costs related to preparing necessary documents (e.g., documenters, researchers, writers, etc.).

*Note: Costs for the participants e.g., meals, transportation, and accommodation are **not applicable**.*

- (4) Expenses related to conducting necessary surveys for project implementation (e.g., land-mine mapping for land-mine clearance and health surveys for polio eradication);
- (5) Expenses related to communication and travel necessary for project implementation and monitoring; and
- (6) Expenses related to production of information, education and communication materials necessary for project implementation.

### **INELIGIBLE ITEMS**

*Japan's GAP grant **cannot** be used for the following:*

- (1) Operation expenses:
  - (a) staff salary or wages;
  - (b) electricity and water consumption;
  - (c) rent for homes or office;
  - (d) fuel and/or gas for vehicles;
  - (e) consumable (supplies, etc);
  - (f) equipment for proponent's office (e.g. photocopy machine, personal computer, printer, fax machines, cellular phones, etc)
- (2) Working Capital for livelihood or income-generating projects;
- (3) Purchase of food and medicines *except* for emergency relief and/or medical operations;
- (4) Purchase of Animals;
- (5) Scholarships;
- (6) Purchase of land;
- (7) Equipment and/or facility for rent for purpose of income generation;
- (8) Fund missionary projects, political activities or activities related to elections, commercial projects, and projects supporting specific doctrines or ideologies, or military projects; and
- (9) Payment for VAGST, customs and duties, registration/license/certification fees, etc.

## **APPLICATION, APPROVAL AND IMPLEMENTATION PROCEDURE AND PROCESS**

### **SUBMISSION OF A REQUEST PAPER OR/AND APPLICATION FORM**

The Interested proponent sends a project request paper to the Embassy of Japan. The Embassy of Japan accepts request papers on a year-round basis.

If the project request papers are accepted after screening the proponent, then a full project proposal must be submitted to the Embassy according to the GAP application format along with the necessary information and/or documents.

### **EXAMINATION OF THE PROJECT/SITE VISIT**

The Embassy evaluates the projects proposal. Since the Embassy of Japan receives much more applications than it can possibly support, funds are therefore provided only to those projects found to be most urgent and suitable after detailed examinations and evaluations have been performed. This means that even proposals, which pass the requirements and examinations of the Embassy, it still needs to meet the high priorities of the Ministry of Foreign Affairs (MOFA) in Japan for approval.

During this period, the Embassy conducts a thorough background check on the requesting organisation and the validity of the documents provided. To check the feasibility of the project proposed, the Embassy of Japan may conduct an appraisal visit to the project site.

The Embassy of Japan may conduct the above-mentioned examination under a

commissioning contract with an appropriate agent on an as-needed basis.

#### **FINAL APPROVAL**

The Embassy endorses and sends favourable proposals to Japan's MOFA for final approval. Once approved, the Embassy informs and asks the representatives of the recipient organisation to continue the procedure to the Grant Contract stage.

#### **GRANT CONTRACT**

The Embassy and recipient organisation will then sign a Grant Contract. The Grant Contract contains the title and objectives of the project, the name of the recipient organisation, the rights and obligations of each party, the maximum amount that will be provided for the execution of the project, the submission date of interim/final reports, and the completion date of the project.

From the date the Grant Contract is jointly signed, the Embassy of Japan may ensure the smooth implementation of the project by recipient organisation under a commissioning contract with an appropriate agent on an as-needed basis.

#### **PROCUREMENT CONTRACT**

The recipient organisation will conclude negotiated contracts with relevant suppliers/contractors for the delivery of goods and/or services. The negotiated contract should include the Terms of Reference and mode of payment. The Embassy examines these contracts carefully to verify the appropriateness of costs and budget items.

#### **DISBURSEMENT OF FUNDS**

After the Embassy approves, the recipient organisation must submit a request for payment with relevant documents before the funds are actually received.

#### **IMPLEMENTATION OF PROJECT**

The recipient organisation must use the grant properly and exclusively for the purchase of the products and/or services necessary for the project as approved within one year after the contract signing. If the Embassy of Japan finds that all or part of a grant has been used improperly, the proponent will repay the grant in full. Should, for any reason, the recipient organisation finds that it has to modify its project plan; it should consult with the Embassy of Japan and receive its approval prior to modifying the original plan.

The recipient organisation must also agree to print or place official stickers and/or plaques bearing the Japanese ODA logo or the flag of Japan on all items purchased, buildings constructed and/or materials produced from GAP grant.

#### **SUBMISSION OF REPORT**

The recipient organisation submits interim report/s during implementation and a final report once the project has been completed with financial statements, copies of actual dollar conversions and official receipts showing how GAP funds were used for the period covered.

If a balance of unspent funds is foreseen or remains after the completion of the original project plan, the recipient organisation return it or send a letter to the Embassy requesting

for and justifying its use related to the project approved along with quotations from a supplier and/or contractor. The Embassy will reject or approve the request, and determine the exact amount of the remaining balance based on all the financial reports and documents previously provided.

If the request is approved, the recipient organisation will submit a status report after implementing the use of the remaining balance along with copies of financial statements, official reports and dollar conversions, if necessary.

#### **FOLLOW UP**

The Embassy will monitor the approved projects during and/or after implementation for five years to determine its sustainability and impact to the intended beneficiaries. All recipient organisations must keep the communication lines open with the Embassy for this purpose.

#### **SELECTION CRITERIA**

In order to identify good projects and to assure accountability, GAP has the following considerations and criteria in screening of submitted concept papers and evaluating full proposals:

- (1) Capability of the proponent (track record, financial management capacity, implementation capability and monitoring system): Applicants must convince the Embassy that they are capable of soundly managing the proposed projects. Therefore, a detailed description of past achievements with the concerned organisations, along with a list of existing staff and their duties, should be provided.
- (2) Project feasibility: Applicants must discuss in complete details how the proposed project will be implemented especially those that would involve people's participation e.g. livelihood, micro-finance, agro-forestry, etc. A comprehensive implementation scheme or plan should be submitted along with the market study or profit-cost analysis.
- (3) Sustainability: As mentioned under the "Ineligible Projects" heading, the Government of Japan cannot provide funding for salaries and other recurring operational costs. The operation of any such project must therefore be independently financed by the proponent organisation. This being the case, the proponent organisation must be able to convince the Embassy that it has sufficient funds to cover the operating costs of the proposed project.
- (4) Appropriateness and cost-effectiveness of requested amount: All organisations are required to submit quotations for the items requested for funding from three different suppliers/contractors. The Embassy may also ask the recipient organisation to exclude items it deems inappropriate to receive funding assistance.
- (5) Necessity, urgency and impact of the proposed project: The Embassy highly considers the importance of proposals to the situation of its target beneficiaries. Therefore, proponents must clearly discuss the problems that they want to address and the expected direct benefits of the project to its target beneficiaries.

Send your project request papers and all supporting documents to:

**GRANT ASSISTANCE FOR GRASSROOTS HUMAN SECURITY PROJECTS  
(GAP)**

Economic Cooperation Section  
Embassy of Japan in New Zealand

By post: P.O. Box 6340, Marison Square 6141, New Zealand

By email: Before 22 February 2012→japan4@ej.org.nz

From 22 February 2012→ [development@wl.mofa.go.jp](mailto:development@wl.mofa.go.jp)

*Please be sure to keep a photocopy of the original project request paper and full proposal for your reference.*

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## REQUEST PAPER FORMAT:

### GRANT ASSISTANCE FOR GRASSROOTS HUMAN SECURITY PROJECTS (GAP)

Embassy of Japan in New Zealand

#### ***I. Proponent Organisation***

1. *Name of proponent organisation:*

*Address:*

2. *Name of Contact Person:*

*Position / Designation:*

*Telephone number:*

*E-mail address:*

*Mobile phone number:*

*Note: The Embassy requires direct contact numbers and addresses of the requesting organisation.*

#### ***II. Project Outline***

1. *Project title:*
2. *Project type:*
3. *Target Site: (Please specify the site, where the project will be implemented.)*
4. *Project Summary and Scope: (Please discuss in detail how you are planning to implement the project, describe all its components and how to use the items requested under GAP.)*
5. *Project Budget:*  
*Please itemise the total project budget using a similar chart as shown below specifying the items and costs: 1) requested under GAP and outside sources; and 2) from your organisation's counterpart or in-house funds. Please specify the name of donor organisations of the outside funds and the status of your request from them.*

<i>No.</i>	<i>Expense item</i>	<i>GAP funds</i>	<i>In-house funds</i>	<i>Outside funds (name of donor)</i>	<i>Total</i>
<i>Total</i>					

6. *Project Objective:*
7. *Target Beneficiaries: (Please specify number and sector of people, who will benefit from the project.)*
8. *Justification: (Please explain the purpose and necessity of all the items you are requesting from GAP.)*
9. *Project Summary in Sketch: (Please submit a sketch showing your project plan e.g. pipeline lay-out for water system, design of building for construction of facilities, etc.)*
10. *Operation and Management Schemes: (Please explain in detail how you are planning to operate and manage the project specifying existing resources and target fund source to sustain these activities.)*
11. *Target Duration of Implementation:*

**III. Additional Comments** *(Please discuss any other relevant information about the project e.g. if part of implementation of a bigger plan or project, etc.)*