

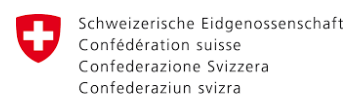
“Public Information and Awareness Services for Vulnerable Communities - PIASVC”



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PIASVC Sub-Grant Guidelines

With financial support from:



Swiss Agency for Development and Cooperation SDC

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I Introduction

These Guidelines provide the framework for the delivery of the sub- grant activities under the PUBLIC INFORMATION AND AWARENESS SERVICES FOR VULNERABLE COMMUNITIES IN LAO PDR Project (PIASVC), funded by the Government of Japan through the Japan Social Development Fund (JSDF), administered by the World Bank and by the Swiss Agency for Development and Cooperation (SDC) and implemented by Helvetas Swiss Intercooperation through the Project Management Unit (PMU).

These guidelines serve as a reference document for the sub-grants applicants and recipients, and ensures procedures, processes and requirements are transparent, consistent, and accurate. They clarify the purpose of the sub-grants, including selection process for CSOs/sub-grantees and sub-grants/sub-projects; and provide guidance on the procedures and requirements with regard to the implementation, monitoring, and evaluation of the sub-grants and of the related financial management and procurement arrangements of the sub-grants.

2 Background: Project Components and targets

2.1 About PIASVC

The PIASVC Project aims to improve the access to legal information and counselling services for 30,000 poor and vulnerable persons (of which 60% are women and 85% from ethnic background) in selected rural districts to enhance protection and fulfilment of their natural resources and livelihood rights. It will improve public knowledge on natural resource rights by providing awareness raising and by enhancing legal counselling services for the poorest and most vulnerable communities with approaches tailored to their unique conditions.

Progress in achieving the Project Development Objectives (PDO) will be measured by the PDO indicators that are presented below.

PDO Result Indicators		Baseline	End Target
1	Number of poor and vulnerable community members informed about basic legal rights and enforcement mechanisms related to natural resources and livelihoods (of which 60% are women and 85% ethnic groups) in selected target areas	0	30,000 people
2	Increased knowledge of the poor and vulnerable community members (of which 60% are women and 85% ethnic groups) participating in awareness raising activities on natural resources and livelihood rights	10,500	20,100

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3	Increased knowledge of village facilitators (of which 60% are women and 85% ethnic minorities) trained to deliver public awareness raising services (<i>Measure increased knowledge</i>)	0	420 people
4	Number of villages with innovative public awareness raising methods adopted and applied	0	120 villages
5	Poor and vulnerable community members using counselling services on natural resources in selected target areas (of which 40% are women and 75% ethnic groups)	0	1500 people
6	Trained voluntary para-legal and other village focal points offering legal counselling services on natural resources and livelihood rights (of which 40% are women and 75% ethnic minorities) (<i>in the sense of increased capacity</i>)	0	300 people

2.2 PIASVC Components

2.1.1 Interrelation between the 2 Components

The PIASVC project is built around 2 main Components: one Capacity Building (Component 1) and one Sub-Grant component (Component 2).

Capacity building activities on awareness raising and on legal counselling will cater towards a broader group of CSOs, including CSOs that have already indicated interest during project preparation, while only a limited number of them will then have access to the Sub-Grants under Component 2. Only CSOs that have participated under Component 1 will be able to apply to Sub-Grants.

Important note: Active, regular and consistent participation of CSO staff under Component 1 is required to open access to the Component 2 and the Sub-Grants.

- **Awareness Raising:** Training of Trainers (ToT) for about 15 CSOs and their CSO trainers/facilitators will be held, focusing on village level awareness raising with an emphasis on new Land and Forestry laws and natural resource and livelihood rights of communities enshrined in this legislation, and include sessions related to inclusion of women, youth and disabled people.
- **Legal Counselling:** ToT for about 10 CSOs and their CSO trainers/facilitators will be held to enhance their capacity to train VMC members, local paralegal volunteers, as well officials and staff of district level legal services and legal aid clinics, if they exist in the respective target areas.

The ToT will be followed-up with coaching support by the master trainers to the CSO grantees only which will plan and roll-out the community awareness raising and counselling service capacity building at village level under Component 2.

The training and coaching sessions for LIWG member CSOs will be held in Vientiane, or in provinces where the CSOs are based and in these cases can coincide with the provinces where the Sub-Grant activities under Component 2 will be implemented.

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2.1.2 Component I – LIWG CSOs members Capacity Building to deliver awareness raising and counselling services

This Component supports capacity building for CSO members of the Land Information Working Group (LIWG) to:

- a. deliver awareness raising and counselling service trainings for village-level facilitators and paralegal volunteers who will disseminate public information (Subcomponent 1.1) and;
- b. provide counselling services for the vulnerable and poorest rural communities, including women, persons with disabilities, ethnic communities and communities located in remote geographical locations (Subcomponent 1.2).

LIWG CSO member staff will receive public information dissemination trainings on rights related to livelihood security, use of natural resources and access to justice, and new training materials will be developed to test innovative approaches to engage with rural communities, including video materials. In addition, CSOs will receive trainings and coaching on supporting paralegal volunteers and Village Mediation Committee (VMC) members with enhancing their ability to deliver counselling services.

Progress towards the set targets will be measured through the following Intermediate Result Indicators which the sub-grantees will help tracking (see below 8. Monitoring and Evaluation):

Component I - Intermediary Result Indicators & Targets	
LIWG member CSO staff trained in awareness raising capacity building	72
LIWG member CSO facilitators trained to deliver trainings on counselling services on natural resources rights	60
Innovative awareness raising methods developed and adapted to the specific context of selected target areas	6
Legal counselling contents and methods on natural resources related prerogatives developed and adapted to the specific contexts of selected target areas	10

2.1.3 Component 2 - Sub-Grants

The Sub-Grants will be used to cascade the CSO capacity building, and the training of trainer inputs provided under the Component I to implement in the project target areas the awareness raising and the capacity building for counselling service at community level.

Sub-Grants will be allocated to LIWG CSO members, including international and national NGOs, to implement innovative awareness raising and legal counselling modalities on natural resources and livelihood rights, adopting new training and outreach methods. LIWG member organizations will be invited through a Call for Proposals to submit Sub-Grant applications based on pre-selected activities and pre-defined output targets.

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Throughout the implementation of the Sub-Grants, the selected CSO will however assess newly upcoming requests and needs of the communities and ensure the relevance of the Sub-Grants for the most vulnerable community members, including women, ethnic minorities and persons with disabilities.

2.1.3.1 Subcomponent 2.1 – Public Information and Awareness Services

Through Sub-Grants allocated to LIWG member CSOs, public information dissemination activities conducted by trained village-level facilitators will directly engage rural communities. Local community members trained and coached by LIWG member CSOs will conduct these activities in close coordination with village authorities, mass organizations and local government officials of MoNRE. **A limited number of CSOs (from 6 to 8) will be selected as sub-grantees** at the outset of project implementation to deliver the training and coaching to local facilitators and village focal points providing public awareness raising activities **under subcomponent 2.1.**

2.1.3.2 Subcomponent 2.2 – Enhancing Capacity to deliver legal Counselling Services

This Component also aims to enhance the capacity of legal counselling service providers focusing mostly on paralegal volunteers elected by the village community, VMC members who will be trained to have paralegal capacity, as well as members of the Laos Women’s Union (LWU) at the village level to work on women rights. The LWU will also play a facilitating role to ensure the adoption of culturally accepted ways of engaging women participants. In certain cases where village paralegal capacity is insufficient, district level lawyers of Legal Aid Offices (LAO) will be trained instead, if existing and operational. **A limited number of CSOs (from 4 to 6) will be selected as sub-grantees** at the outset of project implementation to enhance the capacity of legal counselling service providers **under subcomponent 2.2.**

Progress towards the set targets will be measured through the following Intermediate Result Indicators which the sub-grantees will help tracking (see below 8. Monitoring and Evaluation):

Component 2 - Intermediary Result Indicators & Targets	
Village facilitators trained in awareness raising (of which 40% are women and 75% ethnic groups)	600
Legal counsellors trained on delivering counselling services on natural resources and livelihood rights (of which 40% are women and 75% ethnic groups)	500
Awareness raising activities and campaigns conducted in selected target areas	1440

3 Sub-Grant Governance and Implementation set-up

3.1 Helvetas Implementing Agency / Project Management Unit

The overall project and the Sub-Grants scheme will be managed and implemented by Helvetas Swiss Intercooperation through the establishment of a Project Management Unit (PMU). The PMU will be staffed with a Project Manager, a Financial Management and a National Procurement Specialist. In relation to the Sub-Grant, the PMU will be responsible for the development and implementation of the CSO capacity

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building programme; for the setting up of the Sub-Grant mechanism and the management of the Sub-Grant agreements; and for supporting the further development of an appropriate knowledge management system and community of practice in collaboration the LIWG member and secretariate.

3.2 LIWG Secretariat

The Secretariat of the LIWG will work closely with Helvetas in setting up the Sub-Grant management scheme, mobilizing - through the LIWG Steering Committee, the Core Member Meeting and the General Assembly - its member organizations to submit proposals and participate in the capacity building and Sub-Grant implementation, and providing an information, capacity building and knowledge sharing platform during Sub-Grant implementation.

3.3 Sub-Grant Management Committee

The Sub-Grant Management Committee will define the Sub-Grant recipient selection criteria, review the submitted proposals and select the Sub-Grant recipients. Besides that, it will provide guidance and recommendations during Sub-Grant implementation. The Committee is elected by the LIWG Steering Committee.

The Committee will include the following participants:

Members	<ul style="list-style-type: none"> - 1 LIWG Steering Committee member - 2 LIWG Core Members - 1 External LIWG Resource person - 1 Helvetas PMU representative
Members with no voting power	<ul style="list-style-type: none"> - 1 LIWG Secretariat representative

4 Scope of PIASVC Sub-Grants

4.1 Sub-Grantees: Eligibility

Applying CSO will have to fulfil the following eligibility criteria to be longlisted:

- Be a registered organization
- Be an LIWG core-member for at least 6 months
- Demonstrated active participation within LIWG
- Readiness and commitment to participate in the CSO capacity building (Component I)
- Demonstrated experience in promotion of natural resources-related rights (under subcomponent 2.1) and/or legal sector (under subcomponent 2.2).
- Proven capacity to reach out to defined vulnerable target groups i.e. women and ethnic communities.

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- Proven good relationship with authorities.
- Proven track record of successful project management (projects of similar size).
- Proven commitment to contribute to action-learning and knowledge-sharing within LIWG.
- Effective and functioning leadership, management, accountability and accounting systems.

4.2 Sub-Grant Allocation and Geographical scope

There are about 6 to 8 sub-grants available under Subcomponent 2.1 (awareness raising) and about 4 to 6 under Subcomponent 2.2 (legal counselling). The exact number will depend on the applications received as well as on the amounts of funds requested.

In order to achieve the outreach as indicated in the project document, the sum of all sub-grants shall aim to cover (at least) 120 villages, distributed across 10 to 12 geographic clusters with about 2 districts per target province. Ideally, for each cluster area one Sub-Component 2.1 Sub-Grant and one Sub-Component 2.2. These can be implemented by two different applicants or by one applicant if it demonstrates capacity to cover both thematic fields (see 4.5 about partnerships and co-applications).

Important note: PIASVC favours the two subcomponents to be implemented in the same target area by different or by the same applicant(s)

The final beneficiaries must be selected from districts where:

- LIWG CSO members already work in the land and natural resource sector and will be able to easily and meaningfully expand their work.
- the poverty headcount is above the national average of 18.3%.¹

These **may or may not** overlap with districts prioritised by Government led Enhancing Systematic Land Registration project (ESLRP).

The final selection of the cluster areas and Provinces, Districts and villages to be targeted through the Sub-Grants will be agreed upon after the stakeholder consultations which will be ongoing in the frame of Memorandum of Understanding (MoU) drafting and approval process as outlined in the Stakeholder Engagement Plan (SEP) and the Environmental and Social Commitment Plan (ESCP).

The Applicants are responsible for securing their own MoU or to ensure the activities to be implemented under PIASVC are adequately secured in existing agreements.

4.3 Final Beneficiaries

The primary beneficiaries of the project will be the poorest and socially and economically most vulnerable people of Lao PDR. This will include ethnic minorities (85% of the beneficiaries), women (60% of the

¹ See Lao PDR National Growth and Poverty Eradication Strategy

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beneficiaries), and people with disabilities. The beneficiaries live in poor and remote rural areas, including areas considered state forestland. Poor infrastructure and limited government resources for outreach hinder in these places the dissemination of legal information and an effective delivery of counselling services which makes it difficult for rural communities to obtain up to date information on their formal rights and to seek remedies against injustices.

4.4 Sub-Grant duration

Indicatively the Sub-Grant Projects will run approximately from September 2022 to April 2024. Applications for Sub-Grants can propose implementation periods for an average duration of about 18 months and max. duration of 20 months, although timeframes and delivery schedules will be defined during the development of full proposals and contracting.

The last month of the Sub-Grant Agreement shall be dedicated to final financial and narrative reporting only with no activities taking place.

4.5 Language of application

All application and related documents must be submitted in English language.

4.6 Sub-Grants focus

The Sub-Grants will be used to cascade the CSO capacity building and the training of trainer inputs provided under the Component I of the PIASVC project to the targeted project areas, and to implement the awareness raising and the capacity building for counselling service at community level. Through a Call for Proposal, Subgrantees will be invited to propose their approach to roll-out the awareness raising and capacity building for counselling services in their target areas but will have to consider a range of activities pre-selected by the PIASVC.

4.6.1 Sub-Component 2.1 - Public Information and Awareness Services

4.6.1.1 Overview

Under Sub-Component 2.1, LIWG CSOs will be expected to **promote the dissemination of public information and awareness raising on rights related to livelihood security, use of natural resources and access to justice among vulnerable and poor rural communities**, including women, persons with disabilities, ethnic minorities and communities located in remote geographical locations. The CSOs will adapt training packages and develop and test innovative approaches to engage with rural communities. They will then provide training and coaching to village-level focal points and facilitators on natural resources and livelihood rights issues, and – in collaboration with local officials and mass organisations – support them during the delivery of the public information dissemination and awareness raising activities.

About 6 to 8 sub-grants will be allocated under this Subcomponent.

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4.6.1.2 Eligible activities

Through a Call for Proposal, Subgrantees will be invited to propose their approach to roll-out the awareness raising services in their target areas, but will have to consider a range of activities pre-selected by the PIASVC:

Under the *Public Information and Awareness Services Component 2.1*, these include:

- The tailoring of user-friendly awareness and information tools to the specific local contexts, considering specific local target groups, dialects and languages (e.g. brochures, village-level information sessions, short video clips, mobile phone-based podcasts and radio talk shows).
- The training of and village and district-based disseminators, focal points and facilitators to promote access to legal information for the rural poor on natural resource and livelihood related rights and to establish a more integrated network linking beneficiaries and legal aid providers.
- The empowerment and awareness raising of women with focus on their basic rights (social, economic and political) for increased participation in natural resource management.
- The continuous improvement of community-based public awareness raising activities through recurrent surveys and consultation sessions identifying information gaps and collecting grievances and feedbacks from disadvantaged communities.

Throughout the implementation of the Sub-Grants, the selected CSO will however assess newly upcoming requests and needs of the communities and ensure the relevance of the Sub-Grants for the most vulnerable community members, including women, ethnic minorities and persons with disabilities.

4.6.1.3 Outputs

In line with the logical framework of the PIASVC, each of the Sub-Grants will deliver at least the following main outputs (intermediate results):

- Component 2.1: 50 village level community facilitators, mass-organization staff and local government officials will be trained in 2 Districts and able to conduct in awareness raising activities on recently approved Forestry and Land Laws, natural resource and livelihood related rights and the availability of legal aid services.
- Component 2.1: 2'500 poor and vulnerable community members in 10 villages will be informed through awareness raising campaigns and knowledgeable about basic legal rights and enforcement mechanisms related to natural resources and livelihoods (of which 60% are women and 85% ethnic minorities).

The exact target under each sub-grant will be revised and agreed upon once all sub-grantees have been identified and during the finalization of the action plans and Sub-Grant agreements.

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4.6.2 Sub-Component 2.2 - Enhancing Capacity to Deliver Counselling Services

4.6.2.1 Overview

Under Sub-Component 2.2, LIWG CSO will be expected to **strengthen legal counselling services and village based focal points for paralegal assistance in the communities** targeted by the PIASVC Project. Legal counselling providers are critical to help vulnerable persons or groups with tailored advice on the exercise of rights and access to services, and mediation support in case of natural resources related disputes. To this extent, volunteer paralegal advisors and Village Mediation Committee (VMC) members will be identified and trained by the selected CSOs, to fill the gap in legal advisory services in remote areas with limited access to government services. Selected local community members will be equipped with basic legal knowledge on natural resource and livelihood rights to provide as village focal persons information and support their communities on a voluntary basis.

About 4 to 6 sub-grants will be allocated under this Subcomponent.

4.6.2.2 Eligible activities

Through a Call for Proposal, Subgrantees will be invited to propose their approach to roll-out the capacity building for counselling services in their target areas, but will have to consider a range of activities pre-selected by the PIASVC:

Under the *Enhancing Capacity to Deliver Counselling Services Component 2.2*, they include:

- The training of volunteer paralegal volunteers and VMC members at the community level, as well as lawyers at existing LACs with thematic focus on basic legal knowledge on natural resources rights, livelihood security and related issues.
- Outreach activities informing villagers on topics related to grassroots justice in the village and policies related to natural resources.
- The enhancement of digital skills of legal counselling service providers to better utilize online tools and resources for reporting and delivery of services.
- The strengthening legal clinics for legal awareness, counselling and representation supported by peer learning involving village-based paralegal advisors/VMC/authorities and officials of the district legal clinics.

Throughout the implementation of the Sub-Grants, the selected CSO will however assess newly upcoming requests and needs of the communities and ensure the relevance of the Sub-Grants for the most vulnerable community members, including women, ethnic minorities and persons with disabilities.

4.6.2.3 Outputs

In line with the logical framework of the PIASVC, each of the Sub-Grants will deliver at least the following main outputs (intermediate results):

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- Component 2.2: 50- village level counsellors (e.g. VMC members, voluntary paralegals) will be trained and coached to be able to provide legal counselling services that pertain to natural resources and livelihood rights.

The exact target under each sub-grant will be revised and agreed upon once all sub-grantees have been identified and during the finalisation of the action plans and Sub-Grant agreements.

4.7 Sub - Grant Scheme Amounts

The total budget dedicated to the sub-grant component under PIASVC amounts to US\$2,844,000 with 2,064,000 allocated to Component 1 and US\$ 780,000 allocated to Component 2.

The size of the Sub-Grants will be between USD 160'000 - 340'000 for each of the expected 6-8 lots under Sub-Component 2.1, and USD 80'000 – 200'000 for each of the 4-6 expected lots under Sub-Component 2.2.

The size of the Sub-Grants may vary depending on the number of Sub-Grants that will be allocated as the project aims at supporting a variety of Sub-Grants. The proposed Sub-Grant amounts will be revised and agreed upon during the finalisation of the action plans and Sub-Grant agreements.

Partnerships between organizations are possible and encouraged, including through availability of additional budget (about 30,000 USD) to top up the maximum Sub-Grant amount, if they facilitate the integration of Component 2.1 and Component 2.2 Sub-Grants in a specific geographic area (see also 4.5 Partnerships and co-applications).

It is possible for applicants to submit Concept Note with an amount lower than the indicative range described above. The minimum for the Sub-grants under Sub-Component 2.1 is USD 100,000 and the minimum for the Sub-grants under Sub-Component 2.2 is USD 45,000. Note however applicants are encouraged to respect the initial range, including through partnerships.

Important note: PIASVC is open to partnership to facilitate the implementation of both 2.1 and 2.2 subcomponents in the same target area.

5 General Principles of Funding

5.1 Sub-project Expenditures

The Subgrantees will have to ensure that the proceeds of the Sub-Grants are used exclusively to finance expenditures which, except otherwise provided in the Sub-Grant Agreement, satisfy the following criteria:

- They are incurred during the duration of the sub-project, as indicated in the Sub-Grant Agreement.
- They are indicated in the estimated budget of the sub-project proposal and Sub-Grant Agreement.
- They are related to what is approved, in accordance with the description of the activity/work plan attached to the Sub-grant Agreement.
- They are identifiable and verifiable.

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- They are reasonable, justified, and comply with the principle of sound financial management, particularly regarding efficiency.

5.2 Eligibility of Costs & Expenditures

Only ‘eligible costs’ can be covered by a Sub-Grant. Eligible costs will be actual costs incurred by the Subgrantees. To be eligible, cost need to meet the following basic criteria:

- They are incurred during the implementation of the Sub-Grant and relate to activities performed during the implementation period of the Sub-Grant.
- They are indicated in the cost category budgets as shown below, and necessary for the implementation of the agreed workplans (see Chapter 7).
- They are identifiable and verifiable based on accounting standards, records and usual cost accounting practices.
- They comply with the requirements of applicable tax and social legislation.
- They are reasonable, justified and comply with requirements of sound financial management, in particular in regard to efficiency.

The following cost categories and cost types are eligible under JSDF funding with percentages being approximate.

Sub-Component 2.1 Cost Categories	Type of Eligible Costs	Categories ²	Approx. %
Tailoring of training programmes/packages	Workshop costs (DSA, transport, venue, materials), translation and printing costs	TRN	About 4 %
IEC products and tools	Production costs	GOODS	About 5%
Training of community-based facilitators	Workshop costs (DSA, transport, venue, materials),	TRN	About 16%
Coaching of community-based facilitators	DSA, transport	TRN	About 8%
Implementation of awareness campaigns (e.g. community information sessions, community theatre, radio programmes, video shows, peer to peer exchange)	Costs directly related to (village level) awareness raising activities	TRN	About 41 %
Sub Grant Management and Administrative costs	Office rent, utilities, etc.	OCS	Minimum 5%

² TRN = Training / GOODS= Goods/ OCS = Operating costs

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Human Resources	Any staff assigned to the project	OCS	Up to 20% maximum
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Total TRN (%)	About 70%
Total GOODS (%)	About 5 %
Total OCS (%)	25%

Sub-Component 2.2 Cost Categories	Type of Eligible Costs	Categories	Approx. %
Tailoring of training programmes/packages	Workshop costs (DSA, transport, venue, materials), translation and printing costs	TRN	About 4%
IEC products and tools	Production costs	GOODS	About 5%
Community consultations and training of community-based facilitators	Workshop costs (DSA, transport, venue, materials),	TRN	About 41 %
Coaching of community-based facilitators	DSA, transport	TRN	About 15%
Peer learning and data collection	Workshop costs (DSA, transport, venue, materials),	TRN	About 8%
Human Resources	Any staff assigned to the project	OCS	Up to 20% maximum
Sub Grant Management and Administrative costs	Office rent, utilities, etc.	OCS	Minimum 5%

Total TRN (%)	About 70%
Total GOODS (%)	About 5%
Total OCS (%)	25%

5.3 Non – Eligible Costs

The following costs will not be eligible:

- Costs financed by any other source of funding.
- Salaries of personnel and any other organizational costs of the applicant organization’s administration, unless they are directly related to the activities agreed under the Sub-Grant and the applicant organization would not incur if the Sub-Grant were not implemented.
- Honorarium and government fees (e.g. Opening/closing speech fees, etc.)

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- Costs related to activities which consist exclusively or primarily in capital expenditure, e.g. land, buildings, equipment and vehicles.
- Cost related to activities which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin.
- Currency exchange losses.

5.4 Co-financing

The Sub-Grants can be used to replicate successful activities or build up, in an innovative way and using lessons learned, on existing activities carried out by other programmes of the applicant CSO under an existing MoU or MoA.

However, the applicant will have to:

- Demonstrate that the PIASVC Sub-Grant is implemented as a standalone project with standalone activity(ies) and/or output(s);
- Demonstrate the suggested activities will be covered by an existing MoU/MoA or under renewal of the existing one;
- Clearly demonstrate the innovative aspects of the proposed project and activities;
- As per point 7.2.1 below, all expenses covered by PIASVC will be made out of a separate bank account in the name of the project or be identifiable with a separate cost unit in the sub-grantees' own accounts;
- Reporting (financial and narrative) and accountability will be stand-alone, based on the distinct activities and/or indicators, and focus only on the PIASVC activities and impact;
- Sub-grantees will be requested to monitor in a standalone manner how their activities are contributing to the overall PIASVC indicators.

Sub-grantees will have to inform the PIASVC PMU immediately of any multiple applications and multiple grants related to the activities covered by the Sub-Grants.

5.5 Partnerships / Co-applications

Partnerships between organizations are possible and encouraged, including through availability of additional budget (about 30,000 USD) to top up the maximum Sub-Grant amount, if they facilitate the integration of Component 2.1 and Component 2.2 Sub-Grants in a specific geographic area.

If two organizations in the frame of a single proposal covering Component 2.1 and Component 2.2 outputs and outcomes, they will have to explain what role each organisation will play, how finances will be shared and managed, and how the organizations will coordinate their efforts effectively. For operational reasons, co-applicants must decide among themselves who will be the lead applicant with legal responsibility for the Sub-Grant agreement.

5.6 Non-retroactivity

No Sub-Grants will be awarded retrospectively for already completed activities.

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6 Application and Selection Process

6.1 PIASVC Sub-Grant mechanism phases

The PIASVC Sub-Grant mechanism consists of four phases:

Sub-Grant Application (January to February 2022): Through the Call for Proposals LIWG member organizations will be asked to apply by submitting their Expressions of Interest showing their organizational capacity and suitability to implement a subgrant project (according to the Eligibility Criteria above), including their commitment to learning and sharing. Besides that, the EOI will have to include a short concept note demonstrating the approach, targets and implementation set-up and summarized resource requirement of the applicant.

CSOs will be notified individually of the Sub-Grant Management Committee decision by the PMU. Short feedback will be given to organizations whose Concept notes were not selected.

Full Proposal Development (March to August 2022): Organizations with promising EOI will be short listed and supported with complementary capacity development to conduct thorough community needs assessments and develop full project proposals. The full proposal must be submitted in English and will be held to a high standard of quality. The Sub-Grant Management Committee will then make the award decisions.

Sub-Grant Project Implementation (September 2022 to April 2024) to: Selected organizations will receive funding support to implement their Sub-Grant projects. Periodic reporting requirements will enable to track progress. Continued capacity development support provided through Component I will further develop skills and knowledge and promote innovative methods and practices. A limited number of days of coaching will be provided by the project to the Sub-Grantees.

Sub-Grant Project Evaluation and Closure (April to August 2024): Final reporting and closure of the Sub-Grant projects, and conducting of results and lessons learnt workshop(s).

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6.2 Tentative timeline

Year 1				Year 2				Year 3			
LIWG CSOs Capacity Building				Ongoing coaching, Peer learning, Monitoring, Case study development, Methodology refinement, Sub-Grantees knowledge sharing events, Annual Symposium, Policy Dialogue, etc.				Final beneficiary assessment and Impact Evaluation			
Sub-Grant application & selection process	Sub Grant Project Proposal Development by selected CSOs	Sub-Grant implementation - On Awareness raising - On Legal Counselling Including village/district level stakeholders Capacity Building						Sub-Grant projects closure			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

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6.3 Application

The Call for Proposal and the PIASVC Sub-Grant mechanism will be launched on the LIWG website and advertised at the LIWG core members’ email list. Helvetas and the LIWG-S will organize an information and Q&A session with the core membership in order to give guidance on the application procedures.

In order for applicants to submit their Expression of Interest, documents to be provided includes:

- → *The Demonstration of the Organizational Capacity and Suitability*, addressing the relevance of the organization for the purpose of the Sub-Grant, the thematic competence, the presence and capacity in the proposed cluster area, the experience with comparable projects, and the governance and management capacities. (Template in Annex 1). A → *Declaration of Commitment to Learning and Sharing* will also need to be signed by the Sub-Grantees (Template in Annex 2).
- → *The Concept Note*, providing information on the justification/selection of cluster area, the approach and activities, the implementation modalities, the resources and the organizational set-up proposed to achieve the expected Sub-Grant outputs. (Template in Annex 3)

6.4 Evaluation of Applications

An → *Evaluation Grid* will help facilitate the evaluation and short-listing of the submitted Expression of Interest by the Sub-Grant Management Committee. The evaluation and short-listing will be conducted in 3 steps:

- 1) **Formal Requirements:** Only those applications will be evaluated which complied with the deadline for submission and will be complete and in the form requested by the Invitation for Expression of Interest.
- 2) **Fulfilment of Suitability Criteria:** Only those organizations will be considered which can demonstrate that they can carry out the proposed Sub-Grant project in organizational terms. This refers to the eligibility criteria mentioned above and contents of the *Demonstration of the Organizational Capacity and Suitability* and *Commitment to learning and sharing* mentioned above.
- 3) **Evaluation of the Concept Note:** The evaluation of the Concept Note and the final short-listing will be conducted based on a list of criteria approved by the Sub-Grant Management Committee.

6.5 Procedures for Capacity Assessment after short-listing

After shortlisting the pre-selected CSO will undergo a rapid organizational capacity assessment for the purpose of identifying organizational aspects needing attention during the capacity building and Sub-Grant management process and the implementation of the Environmental and Social Commitment Plan (ESCP). The Helvetas → *Partner Appraisal/Assessment Format* (Annex 4) will be used and mainly focus on:

- Legal status, reputation, and legitimacy
- Operational management and internal control systems

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- Financial and procurement policies, guidelines and procedures
- Environmental & social safeguards (incl. code of conduct, requirements on OHS requirements, provisions for SEA/GBV/VAC prevention and grievance mechanism)
- Accountability and governance structures

6.6 Capacity building and Full Project Proposal Development

Under the Component I of the project, Helvetas together with LIWG provides capacity building for the local LIWG member CSOs to conduct their Sub-Grant activities related to awareness raising and legal counselling. That process will start after the shortlisting of applicants.

Training of Trainers (ToT) of the pre-selected LIWG member CSOs will be held, focusing on the new Land and Forestry laws, with an emphasis on communities' natural resource and livelihood rights enshrined in this legislation. In addition, specific training sessions will be developed on the inclusion of women, youth and disabled people, as well as ESCP related issues and measures. An inventory of all existing and relevant capacity building and training materials already in use by the shortlisted CSO will be conducted, including through participatory process and consultation workshop that will be conducted with the short-listed CSOs. This will be followed by updating, translating and development of new training materials and public awareness activity tools, such as brochures, village-level information sessions, short video clips and radio talk shows, related to natural resource, livelihood and access to justice rights.

Concurrently to this period of capacity building Helvetas and the LIWG Secretariat will invite and coach the shortlisted organizations to develop their full proposal.

A → *Template for the Sub-Grant Project Descriptions* will be used to meet the specific contexts, implementation modalities and set-ups of the Sub-Grant projects, together with a → *Budget Template* structured along the cost categories outlined in Chapter above and including a budget narrative. Those templates will be provided at a later stage to short listed candidates only.

The development of the full proposals will be coordinated and aligned with further community consultations by the shortlisted organizations as well as the stakeholder consultations which will be ongoing in the frame of MOU drafting and approval process as outlined in the SEP (Stakeholders Engagement Plan) and the ESCP (Environmental and Social Commitment Plan). These consultations will lead to the final selection of the cluster areas and Provinces, Districts and villages to be targeted through the Sub-Grants.

6.7 Submission of Proposals

The full proposals will be submitted electronically to the Sub-Grant Management Committee for their review and final approval.

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In case one of the short-listed organizations does not meet the requirements or decides to step-back, applicant organizations that were not shortlisted, will be re-assessed by the Sub-Grant Management Committee and eventually invited to participate in the elaboration of a full proposal.

7 Implementation of the Sub-Grant projects

7.1 Signing of the contract

Successful organizations, whose proposals have been endorsed by the Sub-Grant Management Committee, will proceed to the contracting stage. Time will be given to the selected Subgrantees to include any final recommendations from the Committee in the proposal and budget necessary.

A *Partnership Agreement* will be developed and comply with the specific requirements and conditions of the PIASVC Sub-Grant mechanism. The Partnership Agreement will not only ensure that the Sub-Grants will be implemented according to Helvetas reporting, accounting, and compliance requirements, but also in line with specific Helvetas rules and procedures on financial and procurement management, and with the environmental and social safeguards management policy and other Helvetas policies and guidelines related to gender and diversity. Reference will also be made to the Labour Management Plan (LMP) and Stakeholder Engagement Plan (SEP) requirements, and measures reflected in the ESCP (Environmental and Social Commitment Plan). The project descriptions, the work plans, the budgets as well as the signed → *Partner Code of Conduct* will form an essential part of the Agreement and will be annexed.

The Sub-Grant Agreement will be signed by Helvetas and the Sub-Grantee, which will not only also sign the Helvetas Code of Conduct for partner organizations but also the World Bank Environmental and Social Framework (ESF) (SEP, LMP and ESCP) documents specific to this project.

Note: If a Subgrantee’s own financial, administrative & human resource management systems cover the requirements and this is confirmed through the capacity assessment, it may apply its own systems and procedures with written consent of Helvetas.

Project Management & Administration Training for Sub-grantees

Prior to implementation, Subgrantees will be informed and trained on the Helvetas policies and guidelines and safeguards applying to the project, incl. those related to SEP, LMP and ESCP. They will be informed about the grievance mechanism in place, which allows all direct workers and contracted workers to raise workplace concerns. Helvetas will complement and adapt this mechanism for use of all project implementers and beneficiary stakeholders as described in the LMP and the SEP. Particular attention will be given to ensure that also a grievance mechanism is in place accessible for the target villages and indigenous people.

7.2 Disbursement of Grants and financial reporting

7.2.1 Disbursement

Funds will be made available to the Subgrantees through (quarterly) pre-financing installments. The basis for advance payments and fund disbursement are annual action plans, including annual work plans and

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budgets, that have been discussed with and approved by the Helvetas PIASVC PMU. After approval of their first annual action plans and budgets, the Subgrantees will submit a first advance request for 6-months. Subsequent advance requests will cover 3 months periods. Funds remaining from previous installments will always be deducted from the next pre-financing installment by Helvetas.

Subgrantees will open a separate bank account in the name of the project or a separate cost unit in its own accounts in order to receive funds from Helvetas. The bank account shall be used for all receipts and payments of the respective project. Fund disbursed by Helvetas may be received by partner’s mother account and shall be transferred to project account within 7 working days after depositing into the mother account.

Subgrantees will be expected to maintain all books of accounts according to standard accounting practices. The following books are mandatory in order to maintain for day-to-day accounting: cash book, bank book, general ledger, advance register, fixed assets register, inventory register. Books of accounts will have to be maintained by the Subgrantees on cash basis. However, at the end of the year or at the end of the Sub-Grant period accruals shall be taken into consideration.

7.2.2 Financial reporting

For settling the advances, financial reports, including receipt and payment statements, income and expenditure statements, balance sheets, budget and expenses comparison statements as well as bank reconciliation statements will be submitted to Helvetas within 30 days from the closure of the quarter. Together with the Sub-Grant Agreements → *Financial Reporting Formats* will be provided to the Subgrantees, which reflect actual expenditures and effective working hours/days/months deployed by the Subgrantee (documented with time registration sheets). Helvetas will then issue a next advance to Subgrantees based on the quarterly (updated) workplan and fund request for the following quarter. Each interim settlement will be used by Helvetas to review the ongoing budget feasibility and identify if any budget items are expected to be significantly above or below the budget plan.

7.3 Financial Management

Helvetas will forward funds if they are contractually agreed, and the funds are budgeted in the Sub-Grant Agreements. Standards and procedures defined in the country specific financial, administrative and human resources policies and manuals of Helvetas Laos, incl. procedures for budgetary control, accounting, financial reporting, internal controls, procurements, compliance and governance and audits (see below 7.8), will apply to the management of the Sub-Grants:

- The → *Helvetas Laos Finance and Procurement Manual* describes under Chapter 9 “Partner Contracts & Monitoring” the process and requirements regarding selection, contracting, fund transfers, monitoring, reporting, and auditing, and provides under Chapter 6 “Internal Control”, Sub-Chapter 6.8, the procedures and requirements for the treatment, recording, management, use, monitoring, disposal etc. of assets. Helvetas will inform the Bank of any transfer and disposal of assets purchased from project funds under Sub-Grants.

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- The → *Guidelines on Helvetas Financial, Administrative & Human Resource Management Procedures for Partner Organizations* provide the information on financial, administrative and human resource management requirements and the procurement policies to be observed and undertaken by the Subgrantees in order to implement the Sub-Grants and will form part of the Sub-Grant Agreements. If a Subgrantee’s own financial, administrative & human resource management systems cover the requirements and this is confirmed through the capacity assessment, it may apply its own systems and procedures with written consent of Helvetas.
- Provisions of the Sub-Grant Agreement (especially Article 6) will ensure that the Sub-Grants will be implemented in line with specific Helvetas rules and procedures, including on financial and procurement management. The Policy for procurement of goods and services is described in section 2.01 of the Helvetas Financial, Administrative and Human Resource Management Procedures for Partner Organizations which will be applicable to the sub-grantees and annexed to the Sub-Grant Agreement. To mitigate the procurement risks, the PMU, in particular the National Procurement Specialist, will provide required support to relevant subgrantee procurement teams/focal person as needed.
- Provisions of the Sub-Grant Agreement will ensure that the Sub-Grants will be implemented according to Helvetas compliance and reporting requirements, but also in line with specific Helvetas rules and procedures, including Helvetas Regulations and Guidelines on Dealing with Corruption, Fraud and Conflicts of interest. In addition, the Helvetas Code of Conduct for Contracted Parties, including provisions related to fraud and corruption and accepting gifts or other benefits, will also form part of the Sub-Grant Agreement. In addition to signing the Helvetas Code of Conduct for partner organizations, sub-grantees will also sign the World Bank Environmental and Social Framework (ESF) (SEP, LMP and ESCP) documents specific to this project and which also contains provisions related to fraud and corruption. Helvetas will provide orientation training and information on the relevant Helvetas regulations to all types of project workers including direct workers, contracted workers and primary suppliers employed or engaged by sub-grantees and service providers.

7.4 Adjustment to the project

Throughout the implementation of the Sub-Grants, the selected CSO will assess newly upcoming requests and needs of the communities and ensure the relevance of the Sub-Grants for the most vulnerable community members, including women, ethnic minorities and persons with disabilities.

7.5 Reporting and progress tracking

The Sub-Grant Projects will be designed with a clear logical framework of measurable indicators to track changes and achievements, and the recipient Subgrantees will be responsible for the implementation of their projects in line with the agreed proposals, budgets and activity plans. Helvetas will ensure that the M&E of the Subgrantees aligns to the indicators of the results framework. Bi-annual updates will be required. Through complementary capacity development (see above) and the development of a Result Measurement System the Subgrantees will be supported to set up their own M&E systems / plans for

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internal progress tracking, and to adopt the necessary skills and good practices for efficient M&E. The Subgrantees will be coached in adaptive management so that experiences during implementation can unleash improvements.

The interim narrative reporting will provide accurate and transparent accounting of the Sub-Grant project progress with reflection on meeting or not meeting targets and objectives. Helvetas will equip the Subgrantees with → *Templates for Progress Reporting*. Subgrantees will be required to submit interim and final narrative reports against the work plans and implementation frameworks. The frequency of the progress reporting will be determined in the Sub-Grant Agreements but can be expected to be every quarter. Supplementary photo or video documentation will be encouraged to aide progress tracking. Field visits and spot-checks by Helvetas and the LIWG Secretariat will be conducted to allow the Subgrantees to report in-person and respond to technical inquiries about progress, challenges, and application of capacity development.

7.6 Project closure and final reporting

All Sub-Grant activities and projects will be completed about three months prior to the project closing date. Upon finalization of the Sub-Grant projects, the recipient Subgrantees will participate in and contribute to the final evaluation of the PIASVC Project and prepare their final narrative and financial reports within 1 month upon completing of the Sub-Grant project. A → *Template for the Final Narrative and Financial Reporting* will be provided by Helvetas. The Subgrantees will prepare their final statement of accounts for the final settlement according to the specified budget lines. Funds that remained unused will have to be returned to Helvetas, immediately after Sub-Grant project completion without a request to do so. To minimize the risk of repayment, Helvetas will monitor the effective balance of funds before the final pre-financing instalment is requested and disbursed.

7.7 Auditing

Helvetas will commission a certified public accountant to audit the Sub-Grant Projects. This audit will examine whether the measures have been implemented and administered properly and correctly in accordance with the relevant terms of the Sub-Grant Agreements and the use of the Sub-Grant funds. The Subgrantees will have to permit the certified public accountant commissioned by Helvetas to inspect the accounts and any other documents. This includes, where appropriate, on-the-spot checks and inspections. Upon completion of the audit report Helvetas will inform the Subgrantees of the main findings, and these will have to provide complementary evidence and explanations if required. The Subgrantees shall keep for ten years after submission of the final financial statements all books, records and the originals of the supporting documents, clearly identifying all actual costs of the conducted Sub-Grant activities.

8 Sub-Grant Monitoring and Evaluation

Helvetas, through its PMU, will be responsible for the design and implementation of the project monitoring and result measurement system. The system, guidelines and procedures will be developed in close coordination with the LIWG Secretariat and focus on the data collection methods and practices of the LIWG CSO member Sub-grantees, which will be (partially) responsible for output data collection and

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primary data collection on beneficiaries. A data collection plan will be jointly developed to define a data collection method for the development objective indicators and each outcome and output indicator.

Helvetas will provide regular capacity building support to Sub-grantees to collect reliable and accurate data to track the progress of the project and will assign external specialists to conduct regular monitoring visits. Key milestones will be a Mid-Term Review to assess intermediate/output indicators through quantitative and qualitative data (case studies) and the Final Project Operational Report (including the impact evaluation) which will include the findings of the end-line and the beneficiary surveys.

In addition, field visits and spot-checks by Helvetas and the LIWG Secretariat will be conducted to allow the Subgrantees to report in-person and respond to technical inquiries about progress, challenges, and application of capacity development.

8.1 Knowledge sharing and learning

Sub-grantees will be invited to participate to Sub-Grantees knowledge sharing workshops and Communities of Practice (CoP) as well as to other relevant events, especially those directed at the larger LIWG membership.

A knowledge management and dissemination strategy will be designed with the CoP members, building on the vast experience and resources of the LIWG. The outcomes and findings of the project activities will be enriched through complementary studies and disseminated through workshops, reports, knowledge sharing events and through various forms of media. The support for knowledge management aims to further strengthen the community of practice of LIWG improving its access to a larger diversity of training and communication materials, but also enhancing its relevance and impact in the policy dialogue with GOL on critical pieces of sub-legislation for an inclusive and just land governance system. Knowledge sharing meetings will be held for Sub-grantees to exchange lessons and experiences from their field work, while mass-organizations and involved government agencies will also be invited to participate. The LIWG will be supported to organize bi-annual knowledge sharing meetings with other LIWG members, as well as annual symposiums, which will be designed for a broader audience interested in the land sector.

9 Sustainability and Exit

9.1 Institutional Sustainability

The awareness raising, and community capacity building activities will be implemented by civil society organizations that are already active in the target areas and will work in close collaboration with local government agencies, mass organizations and community leaders, providing fertile grounds for an intensified and more collaborative engagement environment between these key stakeholders in the long run. The new training and communication tools and materials developed under the project will be used by them and the local community facilitators in a select number of target villages. There is strong potential to replicate the application of these new tools and materials in other areas than the ones targeted by the project, although materials may have to be translated into local languages and tailored towards the specific

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local contexts. The capacity building is expected to have a long-lasting impact on local communities’ access to public information.

9.2 Policy-level Sustainability

The bottom-up approach to design activities with due attention to community needs and requests is commonly adopted by civil society organizations active in the land sector, whereas the prevailing government approach to citizen outreach campaigns remains highly centralized and top-down. Lessons generated from the PIASVC project on new communication methods, outreach strategies and capacity building approaches to engage poor and vulnerable communities can be used to inform efforts of GOL improving the dissemination of information on policy and laws, and will contribute to ongoing governance programmes promoting public engagement tools and practices (e.g. CEGGA, the SDC co-financed Citizen Engagement for Good Governance, Accountability and Rule of Law Project).

10 Data Protection

All information collected from recipients for the processing of the Small Grants scheme will be stored by Helvetas, and only for as long as necessary.

Selected information will be shared with relevant stakeholders, e.g. Concept notes and Proposals with participants of Sub-Grant Management Committee, and financial information with external auditors. All third parties will be required to treat information shared with them confidentially.

11 Annexes

- *The Demonstration of the Organizational Capacity and Suitability - Annex 1*
- *Declaration of Commitment to Learning and Sharing - Annex 2*
- *The Concept Note - Annex 3*