

Microgrants Management Tools (#1-13)

Locally Led Anticipatory Action Toolkit

Purpose

The purpose of this tool is to establish a microgrants management mechanism to facilitate the disbursement and to document the outcomes and learning from the actions implemented.

Guidance

The tools are listed in the order of how the process is conducted.

Information for certain tools (++) needs to be clarified with or gathered from stakeholders in the initial planning phase. The table below provides guidance on how each tool is to be applied. The last column, 'booklet' indicates which tools a group receiving a microgrant should be provided with, in local language, and be trained to use.

Other tools, specifically for accounting and book-keeping purposes, are not included in this tool but can be shared if the author is contacted.

Tool	How the tool is applied	Booklet
MG#1 Flyer for Announcing Microgrants – Examples	For communication of the microgrants funding opportunity both to groups who may receive a microgrant, but also for the information of the wider community.	
MG#2 Detailed Criteria for Groups Applying for Microgrants	For use by the facilitating agency.	
MG#3 Applicant Details Form	To be filled in by the facilitating agency.	
MG#4 Project Proposal Form	For community groups to use to prepare their proposals	√
MG#5 Checklist for Reviewing Microgrant Applications ++	For use by the facilitating agency.	
MG#6 Review Panel Decisions Record Form	For use by the facilitating agency.	
MG#7 Contract - Template	Contract agreement to be signed by community groups receiving a microgrant.	√

MG#8 Procurement & Book-keeping Guidelines	Provided to community groups receiving microgrants. To be attached with the contract template (MG#7).	√
MG#9 Microgrants Transparency & Accountability Checklist ++	For use both by groups, and by the facilitating agency.	√*
MG#10 Microgrant Transfer Options Assessment Form ++	For use by the facilitating agency.	
MG#11 Peer Monitoring Form	For use by peer groups, with assistance from community volunteers / representatives.	√
MG#12 Project Report & Expenditure Report Forms	For use by groups to write the microgrant final activity and financial reports.	√
MG#13 Post-distribution Monitoring Form	For use by the facilitating agency in focus group discussions with members of groups receiving microgrants.	

* Only details on the groups' accountability criteria need to be provided.

MG#1 Example Flyer for Announcing Microgrants

Supporting local initiatives to strengthen locally led collective action to be better prepared and to respond to future disasters

- Are you a local group dedicated to improving the wellbeing of your wider community?
- Do you see opportunities for strengthening locally led collective action to be better prepared and to respond to future disasters caused by (hazard)?
- Are you frustrated by external interventions that overlook local capacity, values and mechanisms for promoting community led action?
- Have you already organised and carried out activities without any external assistance to help others?
- Do you have ideas or plans that could further help your community but which need some extra support to do this (whether funds, skills, equipment, information or connections)?

We (facilitating actor civil society organisation) are interested to support community led initiatives in (location) that could result in improved protection of exposed and vulnerable people, livelihoods and assets, including through community action to be better prepared to prevent, respond to and recover from disasters which affect your community.

If you answered YES to the above questions and would like to find out more about how we could help you put your ideas into practice, contact us at (contact details).

MG#2 Detailed Criteria for Groups Applying for Microgrants

- Whether an existing group or institution - or a new group - they have integrity, and are well trusted and respected by the community and by the relevant authorities
- The group has a name and at least 3 named individuals who have the strength and capacity to successfully implement their initiative
- They have already organised and carried out activities without any external assistance to somehow help others in their wider community
- They have an idea for an initiative which aims to contribute to community preparedness, anticipatory actions, or for responding to crises in a realistic way
- Their idea aims to help a significant proportion of their wider most vulnerable and exposed areas / affected areas (microgrants cannot be awarded that benefit only single families or small groups of families)
- To support their initiative, they will not depend only on a microgrant - they are ready to seek contributions from their community, whether cash, volunteering, or in-kind contributions
- The group is ready to implement their plans immediately, but needs some support (whether funds, skills, equipment, information or connections) to enable it to do so
- The intervention will not provoke any problems, divisions or bad feelings in the community (internal problems), or any political and security problems for the community (external problems)
- Initiatives are encouraged that:
 - Are submitted by groups in which women have clear leadership positions
 - Target the most vulnerable, marginalised, discriminated groups
 - Are also supported (with funding or resources) from other sources - e.g. from the community, or from Government or from other organisations or donors
- Proposals should be approved by respected and knowledgeable 3rd party observers: for example, a traditional community leader, school principal, faith-based leader, relevant association or other CSO or respected local Government office - or could be validated from different (triangulated) sources of community feedback
- Any submitted proposal should be posted and remain in a public place that allows all the village to read it with clear steps for providing opinion or comment to (insert detail)
- Microgrants can be awarded with a value from (insert minimum and maximum value)

MG#3 Applicant Details Form

1. Name of the group or organisation:
2. Type of applicant:
3. Address (Location):
4. Name of 3 senior members (with identification details, and positions if relevant) and contact details of each one: a) b) c)
5. When did the group come into existence? (Note: It is possible that it is a new group, informal or emergent)?
6. Describe briefly any prior experience or proven capacity for: a) Developing action plans and implementing them: b) Developing budgets and managing funds: c) Reporting on activities or expenditures:
7. Briefly describe the activities the group has already undertaken without any external support to help the community cope with disasters:
8. Does it have experience of preparing for, or responding to other disasters in the past? If so describe briefly what and how (be a bit more specific in details ...):
9. Reputation for integrity (very positive, reasonable, weak, don't know) a) Do you know the applicants? How do you rate them? b) How do applicants describe their reputation with the wider community? Does this cross check independently with other community members? c) How do applicants describe their reputation with the Locality Council/Committee? Does this cross check independently with the Locality Council/Committee?
10. Additional key information (priorities and focus, gender, age, ethnicity, affiliations)

MG#4 Project Proposal Form

1. Details of applicant group:
 - a) Name and address of the Group
 - b) Names, positions and contact details of the responsible member(s) of the group submitting this proposal, and responsible for implementation and managing the budget
2. What are the objectives of your intervention?
3. Who will benefit from the initiative? And how many of them?
4. Describe how will you ensure that your initiative will not provoke any conflicts within the community
5. Are there any political or security risks that could result from this initiative? If so, what are they and how do you intend to deal with them?
6. Explain who will manage the finances and how the funds will be securely kept.
7. Explain if this initiative is coordinating with any other programme in the village (from Government or from other organisations)
8. Submit your detailed work plan, showing each activity, and who will do it and when, using a simple table like this one, with each activity on a separate row. Use as many rows as you need.

Activities	When will it be done (number of days after microgrant provided)	Who will do it?
1.		
2.		
3.		

9. Include your detailed budget: for each activity in your work plan, list all the costs that will be incurred, using a simple table like this one (use as many lines as you need):

#	Activities, items, services [e.g. items to buy, travel costs, services to rent, etc.]	Unit cost	Number needed	Total cost	Amount needed*	Contributions (specify amount and who from)**
1						
2						
3						

Add more rows as necessary

* From the facilitating agency

** From other sources such as local authority, community, CBOs, other NGOs, etc.

10. How many days/weeks after receiving the microgrant will all activities and expenditures have been completed, and a simple activity and financial report submitted to the facilitating agency, with receipts of all payments?

11. Is there any additional non-financial support (e.g. new technical skills, temporary use of equipment, connections or introductions, management capacity) that the group needs to successfully implement this proposal? If so, please define.

MG#5 Checklist for Reviewing Microgrant Applications

For each question rank your assessment according to the following scale: strongly positive (3); reasonable (2); weak (1); very negative (-1); don't know (?); or not applicable (n/a)	Score
1 Organisational Issues	
a. How does the Locality /wider community/the facilitating agency staff or partners'/reputable 3 rd parties judge the integrity and legitimacy of the applicant?	
b. Do they seem to have the necessary capacity to implement and manage their project effectively?	
c. What is their experience in receiving and managing funds (financial management capacity)?	
d. How is the gender /ethnic/others balance of the applicant's leaders?	
e. Do they have previous connections and/or experience with the target group and area?	
f. Any other indicator?	

2 Proposal issues	
a. Relevance of their intended intervention and objectives (i.e. is it responding to prioritised needs of target group)?	
b. It is clear and justifiable who are the intended beneficiaries of the proposal?	
c. How robust is the implementation plan (i.e. is it the best way to meet the objectives)?	
d. Are their transportation plans well thought through (economically)?	
e. How realistic and accurate is the budget?	
f. Does the proposed expenditure represent effective use of limited funds?	
g. How significant are the local contributions (volunteerism, cash or in-kind)?	
h. Are mechanisms of local accountability/transparency/complaints/communications adequate?	
i. Is the project sufficiently coordinated with relevant initiatives by other actors in the same area, whether LGU or other NGOs or INGOs?	
j. Is the intervention likely to strengthen community solidarity and cohesion (or are there risks of generating internal community divisions)?	
k. If in areas of conflict, is the intervention sufficiently sensitive to security or political considerations? Or not going to prevent further conflict?	
3 Additional follow-up?	
a. Do you recommend any further checks needed on the legitimacy of this group? If so, explain:	
b. Is further technical advice needed to approve the proposed intervention? If so, explain:	
i. Can the facilitating agency or partners respond to any additional request for non-financial assistance if needed?	
ii. Is more needed to promote collectivism and solidarity to bring people together etc?	

MG#6 Review Panel Decisions Record Form

Guidance

- A review panel should consist of a minimum of 3 representatives but can be more.
- In the event of a forecast emergency (i.e. an early action protocol being triggered), or an unforeseen emergency, meetings can be conducted virtually through phone conversation, Skype, WhatsApp, etc.

Decisions are made based on collective use of the Review Checklist. Panel members can make one of 4 decisions:

- Immediate approval of proposal as submitted
- Tentative approval of proposal on condition that either suitable clarification is made of any uncertainties and/or small changes are made either to action plan or to budget

- Rejection of proposal, but with invitation to the applicant to take on board reasons for rejection and to rapidly develop a new proposal for resubmission
- Rejection of the proposal, with no encouragement for the applicant to try again.

The panel should discuss until a consensus decision is reached. However, if this proves impossible, the majority decision (for example 2 out of 3 panel members) will prevail.

Date of meeting:

Members of Review Panel participating:

A:(name and signature)

B:(name and signature)

C:(name and signature)

Proposals being reviewed (give name and ref no)	Decisions of individual panel members with reasons if rejection is decided*			Additional Comments
	A	B	C	
1.				
2.				
3.				

Add more rows as necessary.

MG#7 Contract - Template

Contractual Agreement for microgrant between (insert facilitating agency), referred to as 'facilitating agency', and the Project Management Committee of (insert name) of (address), referred to as Grantee.

This contractual agreement defines the commitments of the facilitating agency and the identified Grantee for implementation of a community project.

1. On the signing of this contractual agreement the facilitating agency hereby commits:
 - a. To provide a grant of total value of (insert amount, currency) as a microgrant to the Grantee to implement the approved project proposal as attached to this contract.
 - b. To transfer the funds within (number) days of signing this contract in cash/as a cheque/as bank transfer

- c. To provide relevant training in financial and project management as needed.
 - d. To provide any other agreed assistance (e.g. new technical skills, temporary use of equipment, connections or introductions) as detailed in attached Annex.
 - e. To facilitate an evaluation at the end of the project with relevant stakeholders that focuses on learning and capturing lessons that can help strengthen future interventions.
2. On the signing of this contractual agreement the representatives of the grantee hereby commit:
- a. To implement all the project activities and make all expenditures according to the approved signed project proposal attached
 - b. To seek help or advice whenever necessary from Locality or facilitating agency
 - c. To follow all basic procurement guidelines as attached
 - d. To follow all basic book-keeping guidelines as attached
 - e. Not to make any significant changes in implementing the project work plan or budget expenditure without first requesting a meeting with the facilitating agency to discuss any requested amendments.
 - f. To submit final narrative and financial reports to the facilitating agency by (date) with a copy to the Locality Council - according to Final Report guidelines attached.

On behalf of the facilitating agency Name: Position: Date: Signature:	On behalf of the microgrant supported group Name: Position: Date: Signature:	Witnesses Witness 1 Name: Signature: Witness 2 Name: Signature:
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MG#8 Procurement & Book-keeping Guidelines

- For any expenditure try to get a receipt from the vendor. For any payments over (insert amount and currency) you must get a receipt from the vendor.
- A proper receipt should have the following information on it:
 - Name and address of vendor or service provider
 - Date of payment
 - Costs and amounts of any different items purchased
 - Total cost
 - Stamp (if available)
- If it is not possible to get a receipt for small expenses under (insert amount, currency), (e.g. local transport etc.) you can fill in your own cash payment receipt in the book provided by the facilitating agency.

- For any single planned expenditures of over (insert amount, currency), you should first get written quotations from three different vendors (ensure that documentation include the same level of information as that specified above for receipts as well as the name of the person(s) collecting the quotation). Quotations can be submitted with your final report. To decide on which vendor to use, the signatories of the contract need to make their selection. You do not necessarily have to select the cheapest quotation (e.g., it may be cheap because the quality is poor) but you should include your justification for the vendor that you finally select in your final report.
- Be careful not to select vendors where there could be any gossip or accusation of vested interest (i.e. if they are family member or such)

MG#9 Microgrants Transparency & Accountability Checklist

This checklist is used to determine the extent to which information on microgrants is being made accessible to communities and other stakeholders. These checklists of criteria also help group members, the facilitating actor, and other stakeholders to understand the strengths and weaknesses specifically in community accountability mechanisms and assists in determining which mechanisms need to be strengthened.

Criteria relating to groups receiving microgrants	Not at all	Ongoing	Fully achieved
The community / population is informed of the supported groups' actions through public announcements. [Poster, etc.]			
Group members' roles have been defined in a participatory manner. [For example, representatives of the supported group have been selected (president, vice president), and signatories for the microgrants have been determined based on the available microgrant transfer options (MG#10).]			
The members of the group have agreed and approved the prepared action plan.			
The group has agreed to hold meetings and the schedule is being followed. [Groups determine a meeting schedule according to their project activities.]			
The group announces the project's process and achievements via public gatherings, posters, local media, or any other community-accessible means.			
Commonly agreed-upon complaints and feedback mechanisms have been put in place and are accessible to the community / population. [For example, suggestion boxes, contact persons details, a hotline, etc.]			

Channels of communication with the facilitating agency are established in case of disruptions in project implementation.			
Procurement is done in accordance with procurement guidelines for groups, and as agreed upon in group meetings.			
Supported groups have prepared project and expenditure (financial) reports.			

Criteria relating to the facilitating actor	Not at all	Ongoing	Fully achieved
Information on the microgrants funding, the types of initiatives they cover, and requirements for groups to apply are available in public places.			
Communities / key stakeholders are consulted on the best ways of communicating information on groups' microgrant activities.			
The facilitating actor informs communities/key stakeholders about the microgrant projects selection processes, and reports to community and supported group members on the process, progress updates and any changes made.			
Feedback and complaints mechanisms are established with input of most vulnerable groups and at-risk population, to ensure accessibility of these mechanisms for all groups and individuals.			
Details on how to give feedback or make complaints related to microgrant supported groups, and related project activities are made available to communities and key stakeholders.			
Standards for information-sharing between the donor agency and facilitating agency, and between the facilitating agency and communities, have been established.			
The facilitating actor monitors how well information is being disseminated, understood, and received through consultations with communities and key stakeholders.			

MG#10 Microgrant Transfer Options Assessment Form

1) Which would be the most preferred microgrant transfer option(s)? Only report on available options.	2) How many of the groups prefer each transfer option? Number / percentage of groups
A. Cash	
B. Money transfer agents / over the counter	
C. Bank	
D. Mobile money	
E. Cards (prepaid, smartcards)	
3) How do people identify themselves to access these financial services? (e.g., passport, identity card, with help of guarantor, etc. Note the identification means that are used most commonly)	
E.g., Cash	E.g, passport, formal ID
A. Cash	
B. Money transfer agents / over the counter	
C. Bank	
D. Mobile money	
E. Cards (prepaid, smartcards)	
4) Is more than one group representative required to sign for receipt of the funds? Follow up action for implementing actor to understand if more than one individual (from different households) can be registered on the delivery mechanism, or if this is a requirement for the implementing actor.	
5) Have there been any difficulties for group members' to access any of the financial services now or in the past? If yes, please explain the cause for the difficulties.	
6) Are there any specific safety risks that you would like to point out in relation to the different microgrant transfer options?	

MG#11 Peer Monitoring Form

Date of data collection:	
General information	
Name of the group conducting the monitoring:	
Name of the group being monitored:	
Type of group (Community Group, Community-Based Organisation, Committee etc.):	
Location in which the monitored group is implementing a project:	
Date the group was established: (dd/mm/yyyy):	
1. Group integrity	
1.1. Has the group been meeting regularly, including all members?	
2. Project perception	
2.1. What planned activities has the project accomplished so far?	
2.2. What modifications have been made to project activities?	
2.3. What are the main challenges that the supported group has faced so far?	
3. Impacts/effects of the project	
3.1. What has changed so far in the community as a result of the project?	
3.2. What has changed within the supported group as a result of the project?	
4. Risks	
4.1. Have there been any negative effects as a result of the project?	
4.2. What are the 3 main concerns / risks that the supported group currently faces?	
5. Conclusion	
5.1. For the monitoring group to consider: What information should be shared with the community / public based on this monitoring? When and by whom should this information be shared?	
5.2. For the monitoring group to consider: What information should be shared with the facilitating agency based on this monitoring?	

MG#12 Project Report & Expenditure Report Forms

Guidance

The purpose of writing this report is first and foremost to help your group members reflect on their experiences of planning and implementing their initiative in order to learn and improve for the future. The facilitating agency does not use this report to judge your project or your organisation – we see it as an opportunity for you to reflect and learn from your experience of working to help your community. We are interested in supporting groups that show that they are interested in learning and in sharing their lessons.

Microgrant Project Report Form

Location:

Project supported:

Group name:

Project start date:

Project end date (or ongoing):

1. What needs or challenges did your community face that made you choose this project, and what is it you wanted to achieve?
2. Tell us about what it was like while the project was underway. Were there challenges that you didn't expect? How did you deal with them?
3. Did you require other funds/resources in addition to the microgrant funds ...(facilitating agency)... provided to accomplish your goal? If so, how did you obtain those resources?
4. What did you achieve? Did you complete what you planned to do, or did you reach all the people you had planned to, as described in your proposal?
5. How is life in your community different now?
6. What else would you like people to know about your project and your group?
7. Are there activities you have been unable to complete, things you could not achieve, other things that went wrong? If so, what has stood in your way and what is needed to succeed?
8. What have you learnt? What would you do differently if you did another project?

On behalf of the microgrant supported group Name: Position: Date: Signature:	On behalf of (facilitating agency) Name: Position: Date: Signature:
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Financial expenditure report form

Location:

Project supported:

Group name:

Project start date:

Project end date (or ongoing):

Expenditure verification of (please indicate): 1st instalment / 2nd instalment / 3rd Instalment

List of each individual planned expenditures as listed in the original budget	List of each individual actual expenditure, plus any additional unplanned expenditures	Reference number(s) for each receipt attached to this report for each expenditure	Difference between actual and planned expenditures (if any)	Explanation of reasons for any differences recorded between planned and actual expenditures
1.				
2.				
3.				
4.				
5.				
Total planned expenditure:		Total actual expenditure:		Balance:

1. If your total actual expenditure is greater than planned, how did you pay the extra?
2. If your total actual expenditure is lower than planned, how would you like to spend the balance?
3. What have you learned about planning budgets for such projects? Would you do anything differently next time to strengthen your budgeting?
4. What have you learned about managing the funds you receive as a microgrant, book-keeping and expenditures? Would you do anything differently next time to strengthen your financial management?
5. Are there any additional training or capacity strengthening needs, in budgeting or financial management, that this experience has revealed which would help strengthen your organisation or group? If so, what?

On behalf of the group Name: Position: Date: Signature:	On behalf of (facilitating agency) Name: Position: Date: Signature:
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MG#13 Post-distribution Monitoring Form

Date:	
Interviewer (staff) Name:	
Location:	
Focus group information	
Focus group discussion participants (group members) Names Gender (M/F) Positions held in the group / committee	
MICROGRANT TRANSFER	
Who in your Committee received the microgrants (positions in the committee)?	
How much of the microgrant funds (ENTER LOCAL CURRENCY) have you received?	
Did you receive the full microgrant amount(s)?	
How did you get to the site to collect your cash? (e.g walk, motorbike, bus...)	
Did you feel safe receiving, carrying and spending the cash?	Yes / Somewhat / No
If somewhat or no, please explain why	
Are you satisfied with the process used to provide the microgrant?	Yes / Somewhat / No
Why? Why not?	
PROJECT IMPLEMENTATION	
Microgrant management	
Of the total microgrant funds you have received, how much have you spent (so far)? To the interviewer: Check this against the committee accounts and note any difference	LOCAL CURRENCY:
Who makes decisions on expenditures in your committee?	

Was there any disagreement on use of the project microgrant funds?

Yes, we were arguing a lot	Sometimes we discussed but came to an agreement	No, there was no disagreement
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Did being involved in managing the microgrant cause any problems?

Project microgrant did not cause any problems	Project microgrant caused some small conflict	Project microgrant caused conflict
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If you selected that it did cause (some) problems, please tell us with whom you had conflict due to the Project Microgrant:

Community Leaders	Project Staff	Neighbours and friends	Community	Other
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If other, please specify: _____

Purchasing

Have you spent the microgrant as you planned in your project proposal?

Yes	No	Don't know
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Validate the response by checking receipts against the project budget, and record any discrepancies:

The purchases you made, would you say they were efficiently used for achievement of the community project?

Yes	No	Don't know
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If the answer is "No": Please explain why.

Project feasibility

Is (or was) the microgrant amount enough to complete the project?

Yes completely	Probably
Unsure	No

If the answer is "Probably, Unsure, or No": For what reasons may it not be enough?

Acknowledgement

This tool has been adapted from [training resources](#) developed by Local to Global Protection for use in supporting survivor and community-led crisis response (sclr), and the CaLP [Group Cash Transfers Guidance & Tools](#).

The [Locally Led Anticipatory Action Guide and Toolkit](#) was authored by Chris Ball, Director of [Bounce Back Resilience Ltd](#) and Humanitarian Advisor DRR and Climate Change for Diakonie Katastrophenhilfe. It was developed based on learning from the Local Leadership for Global Impact project implemented in partnership between [Diakonie Katastrophenhilfe](#), [CARD](#), [CEDES](#), [SAF/FJKM](#) and [GNDR](#); and supported by funds of the Federal Republic of Germany through the [Federal Ministry for Economic Cooperation and Development](#) (BMZ).