

Background Information and Criteria for the Scottish Government International Development Small Grants Programme

Scottish Government Small Grants Programme: overview

The Scottish Government's International Development Small Grants Programme ("the Programme") must be understood in context as part of the [Scottish Government's International Development Strategy \(2016\)](#) ("IDS").

The aim of our annual £10 million International Development Fund (IDF) which supports the IDS is to support and empower our partner countries. Malawi, Zambia and Rwanda form our sub-Saharan African project base, enabling us to foster learning across borders by all involved; and in Pakistan, we have a strong ongoing emphasis on education, through scholarships and collaboration with key Scottish educational agencies. We now have three separate funding streams supporting: development assistance projects; capacity strengthening initiatives; and commercial investment initiatives. The Small Grants Programme sits within the first funding stream (development assistance) of the IDF.

The aim of the Programme is to build capacity and upscale small international development organisations so that they can go on to bid for funding through the International Development Fund ("IDF") and from other funders.

With awards of up to a maximum of £60,000 for project grants over a three-year period or a maximum of £10,000 for feasibility and capacity building grants over one year, the Programme is specifically intended to accommodate smaller requests for funding to contribute to the current IDS and overarching Scottish Government outcomes. Although there are maximum grant levels in place, it is envisaged that a range of project sizes will be supported through the Programme.

The Programme will be used to support proposed projects that fit within the Scottish Government's current IDS in terms of how the activities will contribute to the achievement of the SDGs and the alleviation of poverty; taking account of the Paris Declaration on Aid Effectiveness and the Busan Partnership for Effective Development Cooperation outcomes document.

Project grants

- Project grants will be limited to those applications focusing on the Scottish Government's current Sub-Saharan African priority countries: **Malawi; Rwanda; and Zambia.**
- Project grants will only be awarded for activities in relation to the following Scottish Government current priority themes: **education; health; sustainable economic development; civic governance and society; food security; renewable energy; climate change; and water** (note the [2005 Cooperation Agreement between the Scottish Government & Government of Malawi](#) gives some helpful examples of activities falling under each of the strands of education, health, civic governance and sustainable economic development).
- The Scottish Government is particularly interested in, and will give weighting to, project applications which will (a) work with other organisations currently in receipt of funding through the IDF and

running projects under its larger Zambia, Rwanda or Malawi Development programmes; and/or (b) wrap around/dovetail/support such existing larger projects in those countries, to provide added value to the larger projects.

Capacity building and feasibility study grants

- Capacity Building and Feasibility Study grants will now be open to organisations working in a wider range of countries, beyond the Scottish Government's three sub-Saharan African priority countries, although priority will be given to the Scottish Government partner countries of Malawi, Zambia and Rwanda. Applications for grants in either of these two categories of grants will be limited to Scottish based organisations working in countries designated as having Medium/Low Human Development on the current United Nations Human Development (UNHD) Index.

Within the above parameters, the Programme is therefore available to support delivery of the following:

- enhancing Scotland's contribution to the global fight against poverty through activity which is clearly designed to support the achievement of the SDGs, and economic growth in developing countries;
- building capacity by supporting the growth of small Scottish international development organisations – and in particular supporting and maximising opportunities for small organisations that have established partnerships with NGOs or community agencies in one of the 3 priority countries they propose to work, and whose proposed application fits with that country's development priorities;
- developing a pool of stronger Scottish headquartered smaller organisations that could in the future bid effectively for funding from the Scottish Government's IDF and / or its Climate Justice Fund, and also from other funders;
- supporting feasibility studies by smaller Scotland based organisations for project proposals outwith the Scottish Government's three Sub-Saharan partner countries, that can then be taken forward subsequently as project grant applications to other funders;
- engaging a larger number of diverse smaller organisations (either small Non-Governmental Organisations ("NGOs") or community driven projects) to encourage further innovation;
- over time, upscaling the operations of small organisations through: project; feasibility; and capacity building grants;
- developing a wider pool of Scottish expertise and experience by increasing the number of Scottish organisations able to engage in the Scottish Government's International Development work;
- developing understanding and learning on the effectiveness of the proposed approach to international development; in that regard, as the Programme is an evolving pilot programme, this will include working with Scotland's International Alliance and the Scotland Malawi Partnership ("SMP") to facilitate active learning and development between each funding call; and
- to facilitate south-south exchange, bids that additionally involve one or more of the other partner countries in that region will be considered as long as the main country for the block grant is identified and the rationale and benefits for the inclusion of the additional countries are clearly stated. For example, a grant for Zambia may involve some work with Malawi. Equally, a block grant for Rwanda may involve some work with Zambia.

Scottish Government's International Development Strategy

International development is a key part of Scotland's global contribution within the international community. It encompasses Scottish Government's core values, historical and contemporary, of fairness and equality. It is about Scotland acting as a good global citizen.

Scottish Government has a distinctive development contribution to make, through focusing Scotland's expertise, being innovative and employing a unique partnership approach, for global good.

The Vision in the Strategy is to contribute to sustainable development and the fight against poverty, injustice and inequality internationally.

The key theme of global citizenship is reflected throughout the Strategy. To be a good global citizen and an outward looking nation is why the Scottish Government has an international development programme. It explains why the Scottish Government fosters and encourages, through support for Scottish civil society, traditional core values in Scotland of fairness, equality and global solidarity.

Partnership and collaboration will continue to be the foundation for the Scottish Government's future development work as it builds upon existing bilateral partnerships with Malawi, Zambia, Rwanda and Pakistan, working across borders to address the shared challenges the world faces, in pursuit of the Global Goals. Malawi, Zambia and Rwanda will form the Scottish Government's sub-Saharan African project base and there will be a strong emphasis on education through scholarships in Pakistan.

In addition, all the **Scottish Government's work across its partner countries is clearly focused on the key objective of poverty alleviation and the achievement of the Sustainable Development Goals (SDGs) and must adhere to the principles of the Paris Declaration on Aid Effectiveness.**

More information on the Scottish Government's current IDP may be found here: [Scottish Government's International Development Strategy](#).

Background: Scottish Government's Climate Justice Fund

As well as setting itself ambitious targets on cutting Co2 emissions, the Scottish Government has been working internationally through its world leading Climate Justice Fund (CJF), which has assisted people in the developing world adapt to the impacts of climate change.

From 2017, the CJF will be distributed via two new programmes:

- the Climate Challenge Programme Malawi (CCPM), based around the principles of our successful domestic Climate Challenge Fund
- the Climate Justice Innovation Fund (CJIF)

More information on the Scottish Government's Climate Justice Fund can be found here: [Climate Justice Fund](#).

Scottish Government Small Grants Programme: eligibility criteria

The Programme is targeted at small international development organisations, and the following eligibility criteria apply:

- applicant organisations must satisfy two conditions : 1) **they must be established as not for profit** and 2) **constitute a "legal person"**, meaning it is legally constituted and can enter into a contract. Ideally, applicants will be Scottish Charitable Incorporated Organisations ("SCIOs") or companies that have charitable status. Unincorporated organisations, even with charitable status, are not eligible to apply. However, if you are in the process of becoming incorporated you may submit an application by the closing date of Noon on 16th November 2018 and, providing that **incorporation is in place by 31st December 2018** the application will be accepted for consideration.
- applicants must be able to evidence in their application a **presence in Scotland**;
- applicants must have an **annual expenditure of £250,000 or less** (upper limit in each of the last 2 years);
- organisations applying must have been **in existence for a minimum of 12 months** at the time of applying and have audited/examined accounts available.;
- applicants may only apply for **one type of grant** (project grant / feasibility / capacity building grant) in each annual funding call;
- project grant applicants may only apply for grants that fit within the Scottish Government's current ID Strategy: specifically this means that applications will only be eligible if they relate to the Scottish Government's 3 **Sub-Saharan partner countries which form the SG's project base** (Malawi, Rwanda and Zambia), with current **priority themes/areas** as described earlier (Education; Health; Sustainable Economic Development; Civic Governance and Society; Food Security; Renewable Energy; Climate Change; and Water);

- Capacity Building and Feasibility Study grant applicants will be accepted in relation to any country designated as having Medium/Low Human Development on the current UNHD Index, however weighting will be given to the Scottish Government partner countries of Malawi, Zambia and Rwanda, and
- normally applicants may only apply for a grant where the Scottish Government will be the sole funder of such project; the exception to this is where the application is for joint or match funding, where the funding split may be up to a maximum of 50:50 with another funder, but in that event the other external funder must be identified by the applicant in their application and approved by the Scottish Government as part of the application assessment.

The Scottish Government particularly welcomes applications:

- from currently under-represented groups such as diaspora led organisations;
- in the area of civic governance¹, which is currently less well represented under its IDF; and projects which are of themselves innovative or support innovations.
- for projects which will (a) work with other organisations currently in receipt of funding through the IDF and running projects under its larger Zambia, Rwanda or Malawi Development programmes; and/or (b) wrap around/dovetail/support such existing larger projects in those countries, to provide added value to the larger projects. Details of existing larger projects in those three countries can be found on the SG's website.

Joint or matched funding will be encouraged as part of the funding application process (i.e. where a request for Scottish Government support unlocks a commitment of funding from an external source). Bidders will need to provide evidence of funding commitments at the application stage. Bids may also include the involvement of private sector organisations where support is to enable the sharing of expertise, but not for profit.

The Scottish Government will not fund a project which is simply the continuation of past work or projects. To receive funding, an organisation needs to show that the project proposal and design is based on learning from past initiatives and demonstrates that it will develop the organisations future abilities. New initiatives are also welcome.

¹ The 2005 Cooperation Agreement Scottish Government/Government of Malawi gives some helpful examples of activities in civic governance and society:

- To strengthen governance by working with others to develop schemes for sharing government and parliamentary experience on both a local and central government level, and for sharing legal and financial expertise by engaging with national bodies and civil society
- To share experiences of addressing inequality and the needs of vulnerable groups in society by supporting mechanisms for exchanging expertise and mentoring initiatives
- To develop mechanisms for strengthening the media by facilitating links between key partners
- To investigate innovative ways of developing and using technology, with particular reference to remote and rural communities

What cannot be funded:

- The Scottish Government will not award funding directly to other Governments or to individual representatives of other Governments.
- The Scottish Government will not provide direct financial support solely for the transportation of goods to countries².
- Scottish Government funding cannot be used for per diems
- Scottish Government funding cannot be used for land purchase
- The Scottish Government will not support predominantly capital infrastructure projects or capital spend which is primarily to create a fixed asset, such as building accommodation or new institutions. Refer to application guidance notes for further information.
- The Scottish Government will not fund the purchase of vehicles
- Scottish Government funding cannot be used to fund academic research (e.g. scholarships to do research) as a key element of the project.

²This often undermines local industries and economies, results in inappropriate goods being delivered and often getting held back at airports or borders. It also creates logistical problems for distribution and sometimes inequitable distribution that cannot be justified. It is therefore not the best use of the Scottish Government's resources. Where the transportation of specific equipment is an essential and proportionate part of the activities of a specific project and where evidence can be provided that the equipment cannot be sourced in-country or in other parts of Africa, or South Asia as the case may be, such an allocation will be considered as part of the project application grant.

Applications for **ALL project grants, feasibility grants, and capacity building grants** will need to demonstrate the following:

- clear project/work plan with Specific, Measurable, Achievable, Realistic and Timely (“SMART”) objectives and outcomes that will deliver to identified need, and how these will be achieved;
- clear and realistic budget which directly relates to: the costs of delivering the project plan (project grants); community needs assessment workplan and timeframe (feasibility grants); and personnel and resources required (capacity building grants);
- clear plans for monitoring and evaluation of achievement against planned outcomes; and
- fit within the Scottish Government’s IDS in terms of how the activities will contribute to the achievement of the SDGs and the fight against poverty, injustice and inequality; taking account of the Paris Declaration on Aid Effectiveness and the Busan Partnership for Effective Development Cooperation outcomes document.

Applications for **project grants** (up to a maximum of £60,000 over three years) will additionally need to demonstrate the following:

- established partnership(s) with NGO(s) or community based organisations in the relevant country (Zambia, Malawi or Rwanda) and clear roles stated for partner(s) and applicant organisations;
- evidence of demand for project, involvement of partners and range of users in establishing priorities – explanation of how excluded groups have been involved in establishing project aims and plans;
- evidence of fit with local priorities (e.g. mapping of other local activities by NGOs, local authority priorities and showing a gap);
- proposals for how the project will work with other local agencies (e.g. in-country NGOs, local authorities, local businesses etc.) and will build on existing skills and experience in delivering the project and ensuring sustainability in the longer term;
- clear plans for how the project could be scaled up and how learning will be disseminated;
- assessment of risks and potential problems and how these would be mitigated against;
- capacity to deliver the project;
- rationale for administration costs, and evidence that these are being kept to a small proportion of the overall costs (NB administrative costs will be considered on a case-by-case basis); and
- breakdown of, and rationale for, any capital costs: some capital elements will be considered if they are an essential and proportionate part of a wider programme and the Scottish Government recognises that in delivering effective training there will be occasions where vital equipment is required to enable the training to take place - however, evidence will be required that equipment cannot be sourced locally or in the region).

Applications for **feasibility grants** (up to a maximum of £10,000 over one year) will additionally need to demonstrate the following:

- established partnership(s) with NGO(s) or community based organisations in the country. The country must be designated as having Medium/Low Human Development on the current UNHD Index, although weighting will be given to the Scottish Government partner countries of Malawi, Zambia and Rwanda;
- that there are clear roles stated for partner(s) and applicant organisations for the feasibility period;
- evidence of outline scoping of need identified and involvement of partners and range of users in establishing plans for this needs assessment study – i.e. some ground work done already;
- identification of which local agencies and which groups of users / groups within the community will be consulted in the needs assessment process, including how excluded groups will be consulted;
- use of experienced researchers who have the appropriate experience to work with identified local agencies and user groups (i.e. involving some external expertise in your needs assessment process to give an independent and “fresh eye” approach to the needs assessment process);
- explanation of what methods will be used in the needs assessment and consultation, and how they will be appropriate to ensure involvement of excluded groups; and
- clearly stated objectives for the needs assessment process and timeframes for workplan / how you are going to do the needs assessment ‘research’ (must not be longer than 12 months)

Applications for **capacity building grants** (up to a maximum of £10,000 over one year) will additionally need to demonstrate the following:

- that the majority of the applicant’s core work is undertaken in countries designated as having Medium/Low Human Development on the current UNHD Index. Weighting will be given to those working in the Scottish Government partner countries of Malawi, Zambia and Rwanda;
- that the grant is for the purpose of supporting the applicant organisation **and/or** its partner organisations with the strengthening of one or more of the following aspects:
 - governance and leadership of their organisation
 - organisational strategy and programme planning
 - monitoring, evaluation and learning systems
 - financial and operational management systems
 - legal affairs and human resources
 - fundraising, income generation and communications systems
 - advocacy and influencing
 - participatory user involvement
 - user accountability and complaints systems
 - partnership working and agreements.
- evidence of some review of the strengths and weaknesses of their organisation and why they have identified the capacity area(s) they want to focus on (this review could be done using Scotland’s International Alliance effectiveness self-assessment tool or other methods);

- evidence of commitment from the organisation's committee and senior staff to engaging with this capacity building work;
- an identified champion who will drive the capacity building work within the organisation;
- identified experienced capacity building agency(ies) who have agreed to advise or help deliver the capacity building work; and
- clear budget for personnel and resources required for capacity building work.

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