



**Australian Humanitarian Partnership**  
**Competitive Grant Guideline**  
**for the selection of**  
**up to 6 Humanitarian Reference Group (HRG) member**  
**NGOs**  
**Date: 11 May 2016**

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## SECTION 1: NOTE TO APPLICANTS

1. DFAT is seeking proposals from applicants eligible to apply for grant funding under the Australian Humanitarian Partnership (AHP). Please read this document carefully before submitting a proposal to ensure you are eligible to apply for funding.
2. Applicants are encouraged to fully inform themselves of the terms and conditions provided below when preparing their submission and to make any enquiries to the DFAT Contact Person at [ahp@dfat.gov.au](mailto:ahp@dfat.gov.au) before the enquiry closing time.
3. If you chose to lodge a proposal, it must be submitted, along with any accompanying documents in accordance with the requirements set out in this document and the requirements set out in **Annex 1 – Australian Humanitarian Partnership Proposal**.
4. This Guideline supersedes any prior information or advice provided by DFAT in relation to the Australian Humanitarian Partnership.
5. **Australian Federal Election – Caretaker period**

Potential partners are advised that a Federal Election has been called for 2 July 2016. The Commonwealth Government has therefore entered into a 'caretaker period' which places limitations on Commonwealth Agencies entering into major new commitments.

The selection process will continue, however, DFAT may defer entering into an arrangement with preferred partners until after the end of the caretaker period. Potential partners are further advised that there is also the possibility that, by convention, any incoming Government may decide to terminate arrangements if it does not wish to proceed with a particular competitive selection process.

## SECTION 2: BACKGROUND AND INTRODUCTION

1. The Australian Humanitarian Partnership (AHP) builds on the success of the Humanitarian Partnership Agreement and incorporates greater clarity around end of program outcomes for the disaster risk resilience component of the mechanism, a differentiated approach to response funding for rapid and slow on-set crises and increased resources to support, among other things, consolidated monitoring, evaluation and communications. It is closely aligned to DFAT's Humanitarian Strategy and will make specific contributions across all four of Australia's strategic humanitarian objectives: strengthen international humanitarian action; reduce disaster risk; support preparedness and effective responses and enable early recovery.
2. A differentiated approach has been taken to ensure fit for purpose responses to rapid response and protracted crises. Response efforts will include early recovery assistance to support the smooth transition from humanitarian relief to longer-term recovery and development. Early recovery investments will help

localise a post-crisis response by empowering local actors, including marginalised and vulnerable groups, and supporting the local private sector.

3. To support a shift towards localisation, initiatives under the *local humanitarian capability in the Pacific* outcome area will focus on building disaster management capacity and coordination of local Pacific-based NGOs; and strengthening the risk resilience of Pacific communities.
4. AHP will operate over 5 years (2016-2021), with an option period of up to an additional 5 years. It will build on existing dialogue and governance structures and has been designed to support Australian Council for International Development (ACFID) and the Humanitarian Reference Group's (HRG) policy, learning and communications role. A dedicated Support Unit, subject to a subsequent competitive procurement process, will support the day-to-day management and delivery of AHP outcomes. Successful proposals from eligible HRG member NGOs will enter into contractual arrangements with the organisation selected to host the Support Unit. The contractual arrangement with HRG member NGOs will cover, amongst other things, a requirement to adhere to the **Standard Operating Procedures (Annex 2)**.
5. Through a competitive grants process, successful HRG member NGOs will be eligible for multi-year core funding to support local humanitarian capability in the Pacific region and response and early recovery funding (this is in addition to core funding).
6. These Guidelines explain the Competitive Grant Process to select up to 6 HRG member NGOs to implement the Australian Humanitarian Partnership (AHP). The **investment design document (Annex 3)** outlines the rationale and approach of the AHP and provides further information around the governance arrangements of the AHP. DFAT intends to publically release draft request for tender documentation for the Support Unit shortly.

### SECTION 3: OPERATIONAL OBJECTIVES

1. The AHP operates under the auspices of the existing relationship between DFAT and Australian NGOs (ANGOs) who are members of the ACFID Humanitarian Reference Group (HRG). The investment builds on DFAT's history of partnering with experienced ANGOs to deliver humanitarian assistance. It will replace the current DFAT-NGO Humanitarian Partnership Agreement (HPA) which is due to expire in June 2017.
2. The AHP goal is to save lives, alleviate suffering and enhance human dignity during and in the aftermath of conflict, disasters and other humanitarian crises, as well as to strengthen capacity to prepare for and recover from the occurrence of such situations.
3. The purpose of AHP is to strengthen collaboration and innovation to deliver effective humanitarian assistance and support local communities to take a leadership role in preparedness, response, early recovery, and risk reduction efforts.
4. Contributing to this purpose are three end-of-investment outcomes:

- a) Effective response and early recovery: target populations receive timely and high quality humanitarian assistance appropriate to the context; and are well supported in early recovery.
  - b) Local humanitarian capability in the Pacific is strengthened to anticipate, prepare for, respond to and reduce risks from natural hazards; and Pacific communities are more resilient to the impacts of natural hazards.
  - c) The DFAT-HRG partnership is strengthened: HRG member NGOs, their local partners and DFAT work together more effectively.
5. The Standard Operating Procedures at **Annex 2** outlines functions, roles and responsibilities of parties to the Australian Humanitarian Partnership for the provision of DFAT approved humanitarian action.

## SECTION 4: ELIGIBILITY CRITERIA

### 4.1 Organisation eligibility

1. Applications are open to the 13<sup>1</sup> members of the ACFID Humanitarian Reference Group. Australian Red Cross and RedR Australia are not eligible to apply as a lead HRG member NGO or consortium member, given existing bilateral arrangements with DFAT.
2. Consortia are encouraged with NGOs and the private sector, with eligible HRG members as the consortium lead.
3. Organisations submitting proposals should be able to operate globally.
4. Proposals compiled with the assistance of current DFAT employees or Former DFAT Employees will be excluded from consideration.
5. 'Former DFAT Employee' means a person who was previously employed by DFAT, whose employment ceased within the last nine (9) months and who was substantially involved in the design, preparation, appraisal, review, and or daily management of the program with which this grant program is associated.

### 4.2 Consortia

1. Consortia that include NGOs and private sector organisations are eligible.
2. The Lead Organisation in a consortium is accountable for all funds received. The Lead Organisation will sign an agreement with the organisation selected to host the AHP Support Unit, yet to be identified. The Lead Organisation is responsible for the performance of the consortium and the achievement of outcomes as required.
3. Should two or more eligible HRG member NGOs wish to enter a consortium together, one partner must be nominated as a Lead Organisation.

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<sup>1</sup> Act for Peace, ActionAid Australia, ADRA, Australian Lutheran World Service, CARE Australia, Caritas Australia, Child Fund Australia, Habitat for Humanity Australia, Oxfam Australia, Plan International Australia, Save the Children Australia, Transform Aid Australia and World Vision Australia.

4. NGOs and private sector organisations may be involved in several consortia and proposals.
5. DFAT reserves the right to reassess any proposal if, following submission, the membership of a successful consortium proposal changes, including withdrawing consortium member(s).

### 4.3 Proposal eligibility

In order to be accepted, your proposal must be completed in accordance with **Annex 1 – Australian Humanitarian Partnership Proposal (Proposal)**.

## SECTION 5: APPLICATION PROCESS AND INDICATIVE TIMELINE

### 5.1 Correspondence

All correspondence for this competitive grants process should be directed to the DFAT Contact Person at [ahp@dfat.gov.au](mailto:ahp@dfat.gov.au).

### 5.2 Indicative timeline

The indicative timeline for this competitive grants process is summarised in **Table 1** below. Any changes to the timeline will be updated via addendum and posted on the DFAT internet.

| Table 1: Timeline                                       |                                  |
|---|----------------------------------|
| Event   | Time / Date 2016                 |
| Call for proposals                                      | Wednesday 11 May                 |
| Deadline for registration to attend Applicant Briefings | Monday 16 May                    |
| Applicant Briefing – Canberra, Australia                | Thursday 19 May 10:00 (CBR time) |
| Deadline for applicant questions                        | Monday 13 June                   |
| Deadline for DFAT responses to questions                | Monday 20 June                   |
| Closing Time (Proposal submission deadline)             | Monday 27 June 17:00 (CBR time)  |

### 5.3 Applicant briefings

1. DFAT will hold an information session in Canberra Australia to answer questions.
2. To ensure you receive an invitation to this information session, please register your interest in attending with the DFAT Contact Person by the deadline provided in **Table 1** above.

3. DFAT reserves the right to cancel an applicant briefing if fewer than 3 organisations register to attend that session.
4. The applicant briefings will be an opportunity for interested organisations to ask questions on the Australian Humanitarian Partnership investment design document, submission process and implementation.
5. All questions, answers, and presentations from the briefings will be published on the DFAT website, so that any organisation unable to attend has equal access to information.

#### 5.4 Applicant questions and DFAT responses

1. Any enquiries that applicants or organisations may have concerning this competitive grants process must be submitted via email to the DFAT Contact Person as soon as possible and not later than the date provided in **Table 1**.
2. DFAT will respond to any applicant or organisation's enquiries no later than the date provided in **Table 1**.
3. DFAT will publish answers to enquiries on the DFAT website (without identifying the organisations which submitted the enquiries).
4. DFAT recommends that, up until the Closing Time, applicants and organisations check DFAT website regularly for updates.

#### 5.5 Deadline and method for proposal submission

1. The deadline for proposal submission is provided in **Table 1** above (Closing Time). Proposals that are submitted after the Closing Time will not be evaluated.
2. The judgement of DFAT as to the time a proposal was submitted will be final.
3. The method of submission is **electronically** to the DFAT Contact Person on the following email address: [ahp@dfat.gov.au](mailto:ahp@dfat.gov.au). The file format is Portable Document Format (PDF) only.
4. Applicant proposals must include all information required in **Annex 1**. Information provided in addition to that requested in **Annex 1** will not be considered by the Evaluation Panel.
5. The proposal submitted must be in English and in 12 point font (Times New Roman).
6. Assessment will be a one-step process, so a full proposal must be submitted for assessment.

#### 5.6 Conformance check

Proposals received by the Closing Time will be first checked by DFAT to ensure applicants meet the eligibility criteria and proposals address requirements in **Annex 1**. DFAT may seek clarification of non-conforming proposals. At DFAT's sole discretion, those proposals deemed nonconforming will be excluded, and those applicants will be advised by DFAT at this stage.

## **5.7 Shortlisting proposals**

1. Conforming proposals will be assessed by a panel against the Selection Criteria given in **Annex 1**.
2. The panel may shortlist a number of proposals to be interviewed by the panel. The number of conforming proposals invited to participate in a panel interview is at the discretion of the panel.

## **5.8 Assessment and Past Performance Information**

1. As part of the assessment process, DFAT may invite shortlisted applicants to be interviewed, with interviews being held either in person in Canberra, Australia, or by telephone, at DFAT's discretion.
2. DFAT may request that the named personnel in the applicant's proposal attend the panel interview.
3. Applicants will be notified no later than one week before the panel interviews take place.
4. Applicant representatives will be required to answer any generic and specific questions asked by the panel.
5. The panel will provide the DFAT delegate with a report that:
  - a) summarises the panel's assessment of each proposal against the Selection Criteria; and
  - b) recommends a preferred applicant and lists other suitable applicants in ranked order for the DFAT delegate's consideration and approval.
6. The panel is conducted on a confidential basis, and panel members must not discuss matters relating to the assessment of any proposal with any external party. Applicants must not seek contact with any members of the panel, and any such contact will be considered a breach of confidentiality and may result in DFAT rejecting the proposal of the applicant concerned.
7. In making its assessment of a proposal, the panel may have regard to other factors relevant to the suitability, capacity and qualifications of an applicant organisation including but not limited to:
  - a) checking with nominated referees and with other persons or organisations as DFAT chooses, the accuracy of information and quality of previous work performed including the resourcing of previous work; and
  - b) information obtained from any legitimate, verifiable source, which is relevant to the capacity of the applicants. Such information may be the result of inquiries made by DFAT, and will be raised with the applicant at interview if needed.

8. Previous performance information may only be provided to panel members where it is considered relevant. Panel members may not introduce irrelevant issues or hearsay into the assessment or base their assessment on information that is hearsay and cannot be substantiated.
9. Panel members may adjust technical scores agreed during the shortlisting process as a consequence of any interview and consideration of past performance. This will be done at the panel's sole discretion.

#### **5.9 Debriefing of applicants**

1. Applicants are entitled to request a written debrief on the results of the assessment of their proposals once applicants have been formally notified of the assessment process outcome. This debrief will provide information on scores achieved against individual criterion and comments from the panel.
2. DFAT will not enter into discussion or communications on the content of the debrief once it has been issued.

#### **5.10 Complaints**

DFAT's Complaints Handling Procedures Relating to Procurement will apply.  
<http://www.dfat.gov.au/about-us/publications/Pages/complaints-handling-procedures-procurement.aspx>

### **SECTION 6: CONTRACTUAL, REPORTING AND ACQUITTAL REQUIREMENTS**

Successful applicants (leads of consortia) will be engaged by the organisation hosting the Support Unit, which is subject to a subsequent tender process.



## Annex 1: Australian Humanitarian Partnership Proposal

### STRUCTURE OF APPLICANTS PROPOSAL

Applicants **must** respond to **Sections A - E**.

Note that when scoring each of the Selection Criteria the Evaluation Committee will take into account **all** of the information provided in response to **Sections A – E**.

#### Section A: Applicant Details

Applicants **must** fill in the table – Applicant details, below.

##### Note for consortia:

- Please include details for all consortium partners. Copy this Table if required.
- Each consortium partner must also provide a one (1) A4 page letter that provides brief information about itself, the relationship with other consortium members and expresses the intention to collaborate.

| Applicant details   |  |
|---|--|
| Organisation name and ABN (if applicable)   |  |
| Type of Organisation (eg non-government, national institution, company)   |  |
| Name of main contact person (including title ie Mr/Mrs/Dr etc)  |  |
| Physical address (including city, postcode, country)  |  |
| Work phone number   |  |
| Mobile phone number   |  |
| Fax number  |  |
| Email address   |  |
| Has your organisation previously received funding from the Australian Government? If yes, please give details for the past 3 occasions:<br><br>Name of Activity;<br>Funding Period;<br>Funding Amount;<br>Agreement Numbers |  |

## Section B: Response to Selection Criteria

Applicants **must** respond to each selection criteria detailed below. Response to all Selection Criteria should not be more than ten (10) A4 pages.

### Note for consortia:

- A separate response per consortium member is not required. Rather the selection criteria should be addressed based on the value add of a consortium as a whole.

| Response to Selection Criteria  |  |
|---|--|
| <b>1. Response to rapid-onset crises (including early recovery) – Weighting 20%</b>   |  |
| <ul style="list-style-type: none"><li>• Demonstrated emergency response capacity and relationships with local implementing partners to provide humanitarian relief and early recovery assistance in response to rapid-onset crises, especially in the Indo-Pacific.</li><li>• Ability to manage and distribute humanitarian emergency relief supplies</li></ul>   |  |
| <b>2. Response to protracted and slow-onset crises (including early recovery) – Weighting 20%</b>   |  |
| <ul style="list-style-type: none"><li>• Demonstrated local capacity and relationships with local implementing partners to provide humanitarian relief and early recovery assistance in response to protracted and slow-onset crises</li></ul>   |  |
| <b>3. Building local humanitarian capability in the Pacific – Weighting 25%</b>   |  |
| <ul style="list-style-type: none"><li>• Demonstrated capacity and existing relationships to strengthen local capability to anticipate, prepare for, respond to and reduce risks from natural hazards</li><li>• Demonstrated experience in strengthening disaster risk resilience of communities.</li><li>• Knowledge of and experience in the Pacific region, including a strong understanding of and ability to complement partner government initiatives</li></ul>  |  |
| <b>4. Protection and inclusion expertise – Weighting 15%</b>  |  |
| <ul style="list-style-type: none"><li>• Demonstrated expertise and experience in protection, gender equality and disability in program design and delivery, both mainstreaming and specific programming.</li></ul>  |  |
| <b>5. Partnership, innovation and communication – Weighting 20%</b>   |  |
| <ul style="list-style-type: none"><li>• Demonstrated commitment and capacity to increase and enhance collaboration partners, such as governments, the Red Cross movement, NGOs and local networks (such as churches), and the private sector, especially in a humanitarian context.</li><li>• Demonstrated engagement with and approach to leveraging private sector partnerships, expertise and resources.</li><li>• Demonstrated commitment and capacity to work with Australian Government to increase the profile of preparedness, disaster risk resilience and disaster management activities.</li></ul> |  |

## Section C: Humanitarian Capability Map

Applicants **must** fill in the table below. Insert rows, as required, for each country that members have an organisational presence. The Humanitarian Capability Map will be considered by the Evaluation Committee in accordance with responses to **Section B**.

### Note for consortia:

- Please include details for all consortium partners. Copy this Table if required.

| Humanitarian Capability Map  |         |  |  |  |   |   |  |   |   |
|--|---------|--|--|--|---|---|--|---|---|
| Name of Organisation: [insert name of HRG member or consortium member as relevant] |         |  |  |  |   |   |  |   |   |
| Region   | Country | Relations with partner government  | Geographic focus   | Sectoral focus   | Beneficiaries   | Resources In-country  | Established partnerships   | Delivery model  | Previous responses  |
| <i>E.g Pacific, Asia, Middle East, Africa etc</i>                                  |         | <i>Provide any relevant information on formal approvals to practice or working relationships held with partner government to allow practice in-country. Include provincial level information, as required.</i> | <i>List geographic areas within country with operational focus. E.g. islands, districts, villages.</i> | <i>Include priority sectors in which partner is currently operating.</i> | <i>Detail any beneficiary focus (i.e. children, women, elderly, people with a disability)</i> | <i>Detail resources in-country including Australian office representatives, pre-positioned supplies etc</i> | <i>Include detail of any established partnerships which would be advantageous in emergency response (i.e. with local NGOs, private sector, etc.)</i> | <i>Detail on implementation arrangements (i.e. working through local partners or direct implementation)</i> | <i>Provide brief details of any recent disaster responses (since 2010).</i> |

## Section D: Referee Information

Applicants **must** attach letters, of no more than one (1) A4 page each, of support from two referees.

**For consortia**, one letter, of no more than one (1) A4 page each, of support from a referee **must** be provided for each consortium partner.

Referees **must** comment on the organisation's experience and capacity to achieve the Australian Humanitarian Partnership objectives.

Organisations **must** ensure that their nominated referees do not have an actual or potential conflict of interest when acting as a referee. In particular, organisations **must** ensure that referees:

- a) are not employees of the organisation, or the holder of a current executive office (or similar position) within the organisation, or have a business association with the organisation or a subsidiary organisation of the organisation;
- b) nor their immediate family members, have no direct financial interest in this activity;
- c) are not current or Former DFAT Employees;
- d) are available to be contacted in the 3 week period after the closing time; and
- e) are able to provide comments in English.

DFAT reserves the right to check with nominated referees and with other persons as DFAT chooses the accuracy of the information provided by the organisation and the quality of past work performed by the organisation.

For the purposes of this **Section D and Section E Organisation's Certification**, 'Former DFAT Employee' means a person who was previously employed by DFAT, whose employment ceased within the last nine (9) months and who was substantially involved in the design, preparation, appraisal, review, and or daily management of the program with which this grant program is associated.

## Section E: Organisation's Certification

Applicants **must** complete and sign the Organisation's Certification in the format provided below.

**For consortia**, the Lead applicant's signature of the Organisation's Certification will represent consortium's understanding and consent to the requirements specified.

| Organisation's Certification  |
|---|
| <ul style="list-style-type: none"> <li>I hold the position of <i>[insert position title]</i> with the Organisation and am duly authorised by the Organisation to make this declaration. I make this declaration on behalf of the Organisation and on behalf of myself.</li> </ul>   |
| <ul style="list-style-type: none"> <li>I have read the information provided in the Australian Humanitarian Partnership Competitive Grant Guidelines.</li> </ul>   |
| <ul style="list-style-type: none"> <li>The statements in this proposal are true to the best of my knowledge</li> </ul>  |
| <ul style="list-style-type: none"> <li>I acknowledge that if the Organisation is found to have made false or misleading material claims or statements in this proposal or in this certification, DFAT will reject at any time any proposal lodged by or on behalf of the Organisation.</li> </ul>   |
| <ul style="list-style-type: none"> <li>I acknowledge that this proposal will be assessed on its merits, and compared to other proposals.</li> </ul>   |
| <ul style="list-style-type: none"> <li>I warrant that the Organisation will use its best endeavours to ensure that all personnel involved in the Activity are of good fame and character.</li> </ul>  |
| <ul style="list-style-type: none"> <li>I warrant that the Organisation will use its best endeavours to ensure:               <ul style="list-style-type: none"> <li>(a) that individuals or organisations involved in implementing the Australian Humanitarian Partnership are in no way linked, directly or indirectly, to organisations and individuals associated with terrorism; and</li> <li>(b) that funding received is not used in any way to provide direct or indirect support or resources to organisations and individuals associated with terrorism.</li> </ul> </li> </ul>  |
| <ul style="list-style-type: none"> <li>I warrant that the Organisation is not:               <ul style="list-style-type: none"> <li>(a) <b>listed on a World Bank List or a list maintained by any other donor of development funding;</b></li> <li>(b) subject to any proceedings or informal processes which could lead to listing on a World Bank List or a list maintained by any other donor of development funding;</li> <li>(c) the subject of an investigation by the World Bank or any other donor of development funding.</li> </ul> <p>"World Bank List" means a list of organisations maintained by the World Bank in its "Listing of Ineligible Firms" or "Listings of Firms, Letters of Reprimand" posted at: <a href="http://web.worldbank.org/external/default/main?contentMDK=64069844&amp;menuPK=116730&amp;pagePK=64148989&amp;piPK=64148984&amp;querycontentMDK=64069700&amp;theSitePK=84266">http://web.worldbank.org/external/default/main?contentMDK=64069844&amp;menuPK=116730&amp;pagePK=64148989&amp;piPK=64148984&amp;querycontentMDK=64069700&amp;theSitePK=84266</a></p> </li> </ul> |
| <ul style="list-style-type: none"> <li>I warrant that the Organisation will have regard to the Australian Government guidance "<a href="#">Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations</a>".</li> </ul>   |
| <ul style="list-style-type: none"> <li>I warrant that neither the Organisation nor any of its employees, agents or contractors have been convicted of an offence of, or relating to fraud or corruption, including bribery of a public official, nor are they subject to any proceedings which could lead to such a conviction.</li> </ul>  |
| <ul style="list-style-type: none"> <li>I undertake that the Organisation will not permit any of its employees, agents or contractors, to work with children if they pose an unacceptable risk to children's safety or well-being. Refer to <a href="#">DFAT's Child Protection Policy</a>.</li> </ul>   |
| <ul style="list-style-type: none"> <li>I warrant that recruitment of personnel involved in the implementation of the Australian Humanitarian Partnership will conduct relevant police checks to confirm</li> </ul>  |

|   |
|---|
| that personnel have not been convicted of a criminal offence relating to child abuse, nor are subject to any proceedings which could lead to such a conviction.   |
| <ul style="list-style-type: none"> <li>I warrant that this proposal has not been prepared with the assistance of any current DFAT employees or Former DFAT Employees or with improperly obtained information.</li> </ul>  |
| <ul style="list-style-type: none"> <li>I agree to enter into an arrangement, with the organisation appointed by DFAT to fulfil the functions of the Support Unit, to implement funding in accordance with the outcomes of the Australian Humanitarian Partnership.</li> </ul> |
| <b>Signature:</b>   |
| <b>Name in Full:</b>  |
| <b>Position in Organisation:</b>  |
| <b>Date:</b>  |

## **Annex 2: Australian Humanitarian Partnership - Standard Operating Procedures**

## **Annex 3: Australian Humanitarian Partnership – Investment Design Document**