



South Asia Water Security Initiative (SAWASI)

Invitation to Submit an Activity Proposal

Instructions for Organisations:

To be completed by the applicant. Please read the South Asia Water Security Initiative (SAWASI) Grant Guidelines carefully before filling out this template to ensure your proposal and organisation are eligible to apply for funding.

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Section 1: Note to applicants

Instructions for Applicants:

DFAT is seeking proposals from applicants eligible to apply for grant funding under the South Asia Water Security Initiative (SAWASI)

Please read the SAWASI Grant Guidelines carefully before submitting a proposal to ensure you are eligible to apply for funding.

If you choose to lodge a proposal, it **must** be submitted, along with any accompanying documents in accordance with the requirements set out in the SAWASI Guidelines and the requirements set out in this invitation.

STRUCTURE OF THE INVITATION

This document is separated into four (4) sections which together will be referred to as the "Invitation".

Section 1 (this section) explains the structure of the Invitation to submit a proposal.

Section 2 specifies important details regarding the Invitation including the closing time, the contact person for the SAWASI Initiative and how to submit your proposal.

Section 3 is the template format in which applicants are to submit their proposal and includes the Selection Criteria against which applicants will have their proposal assessed.

Section 4 details the terms and conditions under which this Invitation is offered. Applicants are encouraged to fully inform themselves of the Invitation's terms and conditions when preparing their submission and to make any enquiries to the DFAT Contact Person before the enquiry closing time.

This Invitation supersedes any prior information or advice provided by DFAT in relation to SAWASI.

This Invitation should be read in conjunction with the SAWASI Grant Guidelines available from DFAT's website.

Section 2: Invitation details

Table 1: Invitation Details	
Name of Program:	South Asia Water Security Initiative (SAWASI)
Closing Time:	3 December 2021
DFAT Contact Person:	Paula Richardson
Method of Submission:	SAWASI@dfat.gov.au
File Format for electronic submission of Activity Proposal:	Portable Document Format (PDF) and/or Word Document Format (.doc) only.
Information session details:	<p>DFAT will hold an information session in Canberra, Australia and on Webex to answer questions on the Invitation on 11 November 2020.</p> <p>To ensure you receive an invitation to this information session, please register your interest in attending with the DFAT Contact Person.</p> <p>If you are unable to attend but would like a record of questions and responses to be provided to you, please inform the DFAT Contact Person.</p>
Deadline for questions:	Any enquiries that Organisations may have concerning this Invitation must be submitted in writing to the DFAT Contact Person as soon as possible and not later than, 5:00pm (AEST) 19 November 2020 (10 business days prior to the Closing Time).
Deadline for responses to questions:	DFAT will respond to any Organisation's enquiries no later than, 5:00pm (AEST) 26 November 2020 (5 business days prior to the Closing Time).

Section 3: Proposal format

Instructions for Applicants:

Applicants **must** fill out Tables 2 and 3 below.

Applicants **must** respond to the Invitation as described in Section 3.3-3.8.

Note for consortia:

- Please include details for all consortium partners. Copy this Table 2 if required.
- Each consortium partner must also provide a 1 page letter that provides brief information about itself, the relationship with other consortium members and expresses the intention to collaborate.

Section 3.1: Applicant Details

Table 2: 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: Name of Activity; Funding Period; Funding Amount; Agreement Numbers	

Section 3.2: Proposal Summary

Table 3: Proposal Summary	
Proposal Title/Program Name	

Geographical Location	[Eg Region, Country, Province etc. Please be as specific as possible]
Program Start Date	
Program End Date	
Development Issues	[Name all development issues this proposal aims to address]
Funding request by Australian financial year (financial year means 1 July to 30 June)	AUDxxX in 2020/2021 AUDxxx in 2021/2022 AUDxxx in 2022/2023 AUDxxx in 2023/2024
Total Funds requested from Australia	AUDxxxx
Your Organisation's contribution	
Have you sought funding for this program from any other source? If yes, give details.	[Insert As much detail as possible]
Total Program Cost	AUDxxxx

Instructions for Applicants:

Applicants **must** respond to the Invitation as described in Sections 3.3-3.8.

Note that when scoring each of the Selection Criteria the Evaluation Committee will take into account **all** of the information provided in Sections 3.3-3.8.

Section 3.3: Response to SAWASI Guidelines SAWASI Design Document

Table 4: Response to SAWASI Guidelines and SAWASI Design Document	
1. Brief Background to the Situation [Maximum 2 pages]	
	<i>Outline the relevant background that directly effects program implementation, implementation partners, target institutions or beneficiaries.</i>
2. Brief Background to Lead Organisation [Maximum 1 page]	
	<i>Provide a brief introduction to the Lead Organisation and their role in the program. Details on partner organisations may be provided in an annex.</i>
3. How the Project will achieve End of Program Outcomes [Maximum 2 page]	
	<i>Outline the needs that the project will address and how. Provide information on:</i> <ul style="list-style-type: none"> • <i>how the program has been influenced by past lessons in the sector/country/region;</i> • <i>analysis underpinning the programming choices made and program logic to show how the design will work, including political realities impacting program choices;</i> • <i>knowledge gaps. Identify and resource baseline data collection, further monitoring/analysis including GEDSI services as necessary as part of implementation arrangements in accordance with the Design Document and Selection Criteria.</i>
4. Major Development Objectives [Maximum 1 page]	
	<i>Outline the objectives of the program and how they relate and will contribute to the Objectives provided in the Guideline.</i>

5. Project Activity Description [Maximum 5 pages]
<p><i>Outline the planned activities of the program and how they will contribute to the objectives for the full duration of the program. Identify how you will work with any other implementing partners, DFAT High Commission staff, local and national stakeholders, institutions and any other relevant stakeholder. Describe what publicity will be used to promote the activity.</i></p> <p><i>Note that if successful, a detailed work plan for the first 12 month will be required within 1 month of program commencement. Annual work plans will be required for later years and DFAT will meet monthly with partners to discuss work plans and update as necessary.</i></p>
6. Project Activity Schedule [Maximum 2 pages]
<p><i>Briefly outline the schedule of activities for the program with a particular emphasis on the initial 12-month period.</i></p>
7. Direct and Indirect Beneficiaries [Maximum 1 page]
<p><i>Provide numbers of men, women, boys and girls who will directly and indirectly benefit from the program. Assess who the program will benefit and why these beneficiaries have been selected (i.e. how the program is relevant to the needs of these beneficiaries.)</i></p>

Section 3.4: Response to Selection Criteria

No.	Selection Criteria	Leading questions
Organisational Effectiveness		Weighting: 30%
1	Past performance and experience delivering water sensitive urban design projects.	<p>Does the applicant have relevant in-country experience or the ability to acquire relevant partnerships / relationships in India and/or Pakistan?</p> <p>Has the applicant managed an equivalent sized donor (government, philanthropic, corporate) funded activity in Australia, South Asia or other region?</p> <p>Has the applicant demonstrated the ability to build institutional capacity in water sensitive urban design?</p> <p>Does the applicant have capacity to deliver timely and effective communications and reporting to DFAT?</p> <p>Has the applicant managed a water sensitive urban design activity in challenging contexts, successfully demonstrating the value of collaborative approaches to water governance?</p>
Activity Effectiveness		Weighting 30%
2	Approach to implementation	<p>Is the proposal based on sound technical and contextual analysis of the state of water management in the target location?</p> <p>Is the proposed implementation approach feasible and likely to effectively achieve the EOPOs?</p> <p>Does the applicant's activity proposal consider how to work collaboratively work with other program components and stakeholders including and local partners and donors?</p> <p>How does the applicant's approach to delivery support Australia's public diplomacy goals?</p> <p>Has the proposal effectively considered and mitigated relevant COVID-19 related risks in its implementation approach?</p>
Value for Money		Weighting 40%

3	Value for money, cost analysis of the proposal	<p>Is the activity proposal appropriate to the context?</p> <p>Does the organisation consider and promote proper use and management of public resources?</p> <p>Are risks managed using proportional processes, procedures and requirements for the granting activities?</p> <p>Are the design and development approaches in a proposal effective?</p> <p>Does the proposal adequately consider M&E and GEDSI?</p> <p>How well would the proposed systems analyse and monitor the whole of life cost of budgeting, managing and resourcing the proposal?</p> <p>Would resourcing decisions be well-informed and consider the relative costs and benefits?</p> <p>Are costs well justified in regards to clearly defined results?</p>
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Section 3.5: Response to Cross-cutting Issues, sustainability and risk

Table 6: Response to Cross-cutting Issues, sustainability and risk – Maximum 4 pages
1. Do No Harm
<p><i>Outline how the program will successfully ensure a Do No Harm approach to Implementation.</i></p> <p><i>Note that programs will be required to submit a formal Do No Harm assessment with their first annual work plan.</i></p> <p><i>Explain how the intervention addresses the drivers of conflict and promote positive connections between affected communities and key stakeholders.</i></p>
2. Disability-Inclusion
<p><i>Outline the following:</i></p> <ul style="list-style-type: none"> • <i>any consultation with Disabled People’s Organisations (or plans for them);</i> • <i>how the program will consider and address barriers to inclusion and actively seek opportunities for participation for people with disability;</i>

- *any analysis that has been undertaken to identify barriers people with disability face to participating and benefiting from the program and how this will guide implementation*
- *any specific budget allocation for people with a disability and their families.*

3. Public Diplomacy

Include information on how the program will support DFAT's goals for public diplomacy as articulated in the Design and SAWASI Grant Guidelines. How will the Grantee ensure the demonstration projects are a highly visible and effective mechanism to promote Australia's credentials in urban water management? Note this program expects to take a significant step up in public diplomacy and organisations will be expected to think innovatively about maximising public diplomacy outcomes in this investment. Note in each country the Investment will have separate branding (e.g. Australia-India Water Security Initiative)

4. Coordination

Show how the program targets priority needs not addressed by other delivery partners, and/or how the program is harmonised with the work of other actors. Outline how the program will be coordinated with other programs and how key stakeholders including the Australian High Commission (AHC) in New Delhi, Islamabad, Joint Working Groups for Australian water cooperation MOUs, and Australian and South Asian water-related institutes, will be informed of program activities.

Section 3.6 Risk Register

Instructions for Applicants:

Applicants *must* fill out Table 7 below

Note for consortia:

- Please include details of arrangements for all consortium partners.
- Where one partner is the 'lead' on managing a risk, this must be articulated.

Table 7: Risk Assessment

For each risk listed below, identify the controls (policies, processes, systems, training etc) that the program will put in place to prevent the risk, mitigate its consequences, and to monitor it.

Capability – Applicant lacks the capacity to deliver the program as proposed	
Effectiveness – Program cannot demonstrate the desired outcome is achieved	
Program Delay – Implementation of program is delayed, reducing effectiveness in achieving outcomes.	
Cost management - Costs of implementing program are not appropriately managed, leading to cost overruns, misuse and/or waste of funds.	
Safety – Program activity causes illness and/or injury to participants and/or others.	
Fraud – Loss of program resources due to fraud or corruption.	
Counter Terrorism Resourcing – Program resources are made available to persons or organisations associated with terrorism	
Modern slavery – Program results in the use of unpaid, forced and/or underpaid labour.	
Legal – Program activity results in the breach of Australian or local laws.	
Environment – Program activity results in environmental damage, including the inappropriate disposal of waste.	

Climate risk – Program results in increased release of greenhouse gases, and/or increases exposure to climate related risks.	
Child protection – Program activity leads to abuse and exploitation of children	
Prevention of Sexual Exploitation and Harassment - Program activity leads to sexual abuse and exploitation.	
Protection of vulnerable and disadvantaged groups – Program activity has adverse impact other vulnerable and disadvantaged groups (including people with a disability; the poor; the elderly; indigenous people; ethnic, religious and linguistic minorities; Lesbian, gay, bisexual, transgender and/or intersex people; and People dependent upon the land of others for livelihood or residence)	
Displacement and resettlement – Program results in the displacement of populations (outside of voluntary land transactions), requiring resettlement of populations.	

Section 3.7: Proposed Budget

Instructions for Applicants:

Applicants **must** complete Tables 8 to 11 below. The proposed budget in Table 7 should be as detailed as possible at this stage. Columns may be deleted as appropriate.

Table 8: Proposed Budget

Description	Applicant contribution	Counterpart/ Partner Contribution	Third Party Contribution	DFAT funds requested	Total
Personnel Costs					
[Insert Personnel positions]					
Sub-Total					

Procurement & Training Costs					
Sub-Total					
Overheads (if any)					
Sub-Total					
Administrative Support Costs					
Sub-Total					
Other (Specify)					
Sub-Total					
TOTAL					

Instructions for Applicants:
 The assets in Table 9 are indicative and applicants may add or delete from this list after an agreement has been signed.

Table 9: Assets			
Category	Description	Location	Value (AUD)
Eg Computers			
Eg Mobile Phones			
Eg Vehicles			

Total			
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Instructions for Applicants:
 On the basis of their Activity Proposal Applicants should propose Milestones for reporting and project delivery in Table 10 and 11 which will be subject to negotiation should the Applicant be selected as preferred supplier.

Table 10: Milestones		
	Milestone	Completion date
1.	<ul style="list-style-type: none"> Include information on reporting and activity deliverables. 	<i>[User note: insert date for completion of Milestone.]</i>

Table 11: Payments			
No.	Payment Criteria	Payment Claim Due Date	Instalment (GST inclusive)
1.	<i>The Applicant may suggest a payment schedule which will be subject to negotiations should they be selected as the preferred Supplier.</i>		
Total			

Section 3.8: Referee Information

Applicants **must** attach letters of support from two referees of no more than 1 page per referee.

For consortia, two letters of support from referees **must** be provided for each consortium partner.

Referees **must** comment on the organisation's experience and capacity to achieve the [Insert program name] 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 clause 3.7 and Attachment 1 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 3.9: Organisation's Certification

Applicants **must** attach a completed and signed Organisation's Certification in the format provided at **Attachment 1**.

For consortia, the Organisation's Certification must be provided for each consortium partner.

Section 4: Terms and Conditions

Section 4.1: Lodgement of Proposals

- 4.1.1 Proposals *must* be lodged in accordance with the procedures set out in Section 2 to this Invitation and prior to the closing time specified in Section 2 of this Invitation (“Closing Time”).
- 4.1.2 Subject to Clause 4.3 (Late Submissions) below, DFAT will reject any proposal that is not submitted in accordance with Section 2.
- 4.1.3 Applicants must include all information required in this Invitation in their proposal.
- 4.1.4 The proposal and any additional documents submitted with the proposal must be in English.
- 4.1.5 A person or persons with authority to lodge the proposal on behalf of the applicant must complete, sign and submit the Organisation’s Certification provided as Attachment 1 to this Invitation. For consortia, a Certification must be completed and signed for each partner in the consortium. DFAT may reject an applicant’s proposal if it does not submit the Organisation’s Certification(s).

Section 4.2: Enquiries

- 4.2.1 Any enquiries that you may have concerning this Invitation *must* be submitted in writing to the DFAT Contact Person in Section 2 as soon as possible and not later than 12 November 2020 (2 days prior to the Closing Time).
- 4.2.2 DFAT will respond to any enquiries no later than 13 November 2020 (1 day prior to the Closing Time).
- 4.2.3 DFAT will publish answers to enquiries on the DFAT website (without identifying the organisations which submitted the enquiries).
- 4.2.4 DFAT recommends that, up until the Closing Time, organisations check DFAT website regularly for updates.

Section 4.3: Late Submissions

- 4.3.1 Proposals that are submitted after the Closing Time will not be evaluated.
- 4.3.2 The judgement of DFAT as to the time a proposal was submitted will be final.

Section 4.4: Non-Conforming Proposal

- 4.4.1 Subject to Clause 4.3 (Late submissions), proposals will be regarded as non-conforming if they fail to conform with one or more of the requirements of this Invitation.
- 4.4.2 DFAT may seek clarification of non-conforming proposals.
- 4.4.3 Subject to Clause 4.3 (Late submissions), DFAT may, at its absolute discretion, assess or exclude from evaluation any non-conforming proposal.

Attachment 1: Organisation's Certification

Organisation's Certification
<ul style="list-style-type: none"> I hold the position of (xxxxxxx) 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.
<ul style="list-style-type: none"> I have read the information provided in the [Insert program name] Guidelines.
<ul style="list-style-type: none"> The statements in this proposal are true to the best of my knowledge
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> I acknowledge that this proposal will be assessed on its merits, and compared to other proposals, and that it may not be funded, or it may not be funded at the amount requested.
<ul style="list-style-type: none"> 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.
<ul style="list-style-type: none"> I warrant that the Organisation will use its best endeavours to ensure: <ol style="list-style-type: none"> that individuals or organisations involved in implementing the Activity are in no way linked, directly or indirectly, to organisations and individuals associated with terrorism; and that the Grant is not used in any way to provide direct or indirect support or resources to organisations and individuals associated with terrorism.
<ul style="list-style-type: none"> I warrant that the Organisation is not: <ol style="list-style-type: none"> listed on a World Bank List or a list maintained by any other donor of development funding; 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; the subject of an investigation by the World Bank or any other donor of development funding. <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: http://web.worldbank.org/external/default/main?contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984&querycontentMDK=64069700&theSitePK=84266</p>
<ul style="list-style-type: none"> I warrant that the Organisation will have regard to the Australian Government guidance "Safeguarding your organisation against terrorism financing: a guidance for non-profit organisations".
<ul style="list-style-type: none"> 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

<p>corruption, including bribery of a public official, nor are they subject to any proceedings which could lead to such a conviction.</p>
<ul style="list-style-type: none"> • 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 DFATs Child Protection Policy.
<ul style="list-style-type: none"> • I warrant that none of the personnel who are involved in the Activity have been convicted of a criminal offence relating to child abuse, nor are they subject to any proceedings which could lead to such a conviction.
<ul style="list-style-type: none"> • I warrant that the Organisation has not received grant funding for this Activity from another source other than that declared in Section 3.5 of this proposal.
<ul style="list-style-type: none"> • 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.
<p>Signature:</p>
<p>Name in Full:</p>
<p>Position in Organisation:</p>
<p>Date:</p>