



Australian Government

AusAID

ADDENDUM 2

Date: 6 July 2012

Pages: 5

Subject: **Addendum 2 to the Civic Society Water, Sanitation and Hygiene (WASH) Fund Guidelines**

CSO Briefing Questions (Melbourne, Australia 28 June 2012):

Question 1: How will any changes to the Guidelines or additional information that needs to be considered be provided to interested parties?

Answer: All changes to the Guidelines or additional information provided will be done so through release of an addendum to the Guidelines, via the WASH Fund's dedicated AusAID website.
(<http://www.ausaid.gov.au/aidissues/watersanitation/Pages/csowash.aspx>).

Question 2: Will any questions and answers, and all presentations from the industry briefing that was held in Melbourne, Australia on 28 June 2012 be made available to all interested parties directly?

Answer: Yes. The presentations are downloadable from the Fund's dedicated website (see hyperlink above) and the questions and answers are included with this Addendum 2.

Question 3: Are consortia/partnerships able to apply for funding? How are the lead applicants assessed in this case?

Answer: Yes, consortiums and partnerships are eligible to apply. In each case there must be a designated lead agency which AusAID would enter a grant agreement with if the application was successful. If an international CSO has an office in Australia, the Australian office is expected to be the lead agency, subject to capacity.

All submissions will be assessed equally regardless of the structure of the entity. It is the responsibility of the applicant to provide sufficient detail to allow a selection panel to assess if the proposed entity would have the necessary capacity to deliver on the proposal. See Clause 5.1 in the Fund Guidelines for more information.

Question 4: Are proposals invited from both accredited and non-accredited Australian NGOs, as well as experienced international CSOs?

Answer: Yes. However, local CSOs (organisation's that operate in only one country) will need to partner with an international or Australian CSO to be considered eligible for funding. It is expected that the international/Australian CSO would be the lead agency for the application.

Question 5: What funding will AusAID provide for the inception phase of the Civil Society WASH Fund? Are these costs in addition to final program funding?

Answer: AusAID will provide 70% of the inception phase costs for CSOs that make it through to the inception phase, up to a maximum of A\$70,000. CSOs must provide 30% of the funding for inception phase costs. An estimate of the budget for inception phase costs is required as part of completing the template for submissions. See Clause 8.1 in the Fund Guidelines for more information.

Funding for the inception phase (such as staff and travel costs) is separate to final program grant allocations. To participate in the inception phase, the lead CSOs will need to sign a grant agreement with AusAID. Following the inception phase, successful CSOs will then sign a 4 year grant agreement for the Fund which will be administered and managed by the WASH Fund Manager (Managing Contractor to be contracted by AusAID to administer the WASH program).

Question 6: If a CSO has experience in a region of focus for the Fund (Africa, Asia or the Pacific) but limited or no experience in the countries that are in scope, will this experience be considered when assessing submissions?

Answer: The Civil Society WASH Fund aims to build on the proven experience of CSOs operating in the WASH sector. Applicants for the Civil Society WASH Fund must have an organisational presence and experience in the countries where they seek to undertake activities.

Question 7: Does the CSO need to have prior experience working for AusAID, in particular under the previous Civil Society WASH Fund?

Answer: No, it is not an eligibility requirement for CSOs to have previously received funding from AusAID or for CSOs to have been part of the previous Civil Society WASH Fund. See Section 5 of the Fund Guidelines for eligibility requirements.

Question 8: Will submissions for countries outside of the scope of the Civil Society WASH Fund be considered? Could countries out of scope be considered for funding only after assessing all other proposals?

Answer: **AusAID has a preference that activities will be undertaken within countries that are in scope, however, submissions that target countries outside of this scope may be considered on a case by case basis, at AusAID's sole discretion.**

Submissions should be within the identified regions as per the Guidelines, target countries with a proven need for access to WASH services, and provide a clear justification as to why activities should be funded. See Clause 5.2 (d) in the Fund Guidelines for more information.

CSOs must have demonstrable experience in the countries they are applying to operate in.

Question 9: Will applicants that have an established WASH program with demonstrated results in a particular country / countries be favoured under the assessment processes?

Answer: **Submissions from CSOs that can demonstrate a sound track record of high quality WASH programs are encouraged. As per the Guidelines, applicants should detail their relevant experience and results as part of the application process to allow the selection panel to make an assessment of their capability. This assessment will be done in accordance with the detailed selection process and criteria (in Section 6 of the Fund Guidelines).**

Q 10: Should the role of CSO Program Manager be located at a head office and be a full time position?

Answer: **There is no requirement that the Program Manager be located at an organisation's head office or that it be a full time role. This can be an operational decision for applicants.**

The Program Manager must be able to perform all duties of the role as required and communicate and report in a timely manner as required to the Fund Manager; the Monitoring, Evaluation and Review Panel; and the Knowledge and Learning Manager.

Q 11: Is there a requirement that a specific proportion of each activity concept should be allocated to each of the water, sanitation and hygiene sub-sectors?

Answer: **No, there is not a fixed proportion of program activities that must be allocated to a particular WASH sub-sector. However, the selection**

criteria in Section 6.1.3 of the Guidelines favours proposals that place an emphasis on sanitation, given the poor levels of access in all regions.

Another important element of the Fund's selection criteria is that all proposals must have a hygiene component and water supply projects will be expected to incorporate a sanitation component.

Q 12: Is there a page limit for providing details on CSO country capacity and each set of activities that are proposed in a particular country or countries? (Annex 4 of the Guidelines)?

Answer: Yes. A maximum of 7 pages can be provided to detail the capacity of the CSO in each country they are applying to operate in, and the activities they propose to undertake in each country. For example, if a CSO wishes to apply to undertake activities in two countries (such as Vietnam and Cambodia) there is 7 pages maximum available to detail the capacity of the CSO and the activities they propose to undertake in Vietnam, with another 7 pages available to detail the capacity of the CSO and the activities they propose to undertake in Cambodia.

Q 13: Are trans-boundary proposals encouraged or permissible under the Civil Society WASH Fund?

Answer: Trans-boundary proposals are not eligible for funding. A Country Specific Capacity Statement and Activity Concept is required for each country that a CSO is proposing to operate in.

Q 14: Are cross-regional proposals eligible under the Civil Society WASH Fund?

Answer: Submissions that contain a number of activity concepts across more than one region are eligible (in this context, a region is Africa, Asia or the Pacific, not a region within a particular country). CSOs that have a sound track record in high quality WASH programming in the countries that they propose to operate in are encouraged to apply.

CSOs must have a strong presence and demonstrable results in each country they intend to operate in, regardless of the region of the activity.

Q 15: Will activities be considered as part of an application if they are not specific to the WASH sector?

Answer: No they will not be considered. Activities must be targeted at saving lives by increasing access to safe water and basic sanitation, improving hygiene behaviour and creating sustainable services, in accordance with Clause 5.2 (a) of the Fund Guidelines. While an application not specific to the WASH sector could demonstrate other broad health benefits, the core focus of any proposal under this competitive grant program must be on the provision of activities in the WASH sector.

Q 16: Can a proposal with activities in several countries be funded if the assessment panel determines that some country activities are not suitable? (i.e. will an application for activities in 5 countries be assessed through each of the 5 country activities individually, or as a combined proposal).

Answer: **Yes it can. Proposals that contain a activity concepts in a number of different countries may be successful for only some of the activity concepts, without receiving approval for all of the proposed activity concepts. For example, if the selection panel recommends that 3 of 5 activity concepts are suitable, the proposal would still be eligible for support, but only for the 3 activity concepts assessed as suitable.**

Q 17: Is there a bias towards higher value submissions and is there a minimum funding allocation?

Answer: **The Guidelines are not biased towards higher value proposals. There is a minimum allocation of A\$2 million over four years for successful submissions from CSOs, however, all submissions are assessed equally on their merits regardless of the estimated cost of the proposal, provided the submission is over \$2 million in total. See Clause 5.1 (f) in the Fund Guidelines for further information.**

All other information as set out in the AusAID Civil Society WASH Fund Guidelines as dated 4 July 2012, and Addendum 1 dated 4 July 2012, remains unchanged.



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ADDENDUM 3

Date: 13 July 2012

Pages: 3

Subject: **Addendum 3 to the Civic Society Water, Sanitation and Hygiene (WASH) Fund Guidelines**

Responses to enquiries sent to WashFund@ausaid.gov.au

Question 1. Should CSOs be contacting AusAID country offices (known as ‘Posts’) before submitting a proposal? What feedback should CSOs expect from Posts? i.e. an approval to submit or just comments?

Answer: A meeting with an AusAID Post during the call for proposals is optional. Meeting with Posts during the call for proposals provides opportunities to discuss the status of access to WASH in-country, discuss any AusAID WASH programs and identify any points of complementarity between CSO proposals and AusAID programs.

As noted in Clause 5.2 (c) of the Guidelines, those CSOs proposing activities in countries where AusAID has an active WASH program are encouraged to design activities that align and complement the AusAID WASH program. AusAID will endeavor to provide further opportunities to work with Posts during the inception phase.

Note that AusAID Posts may not be able to meet with CSOs in all instances and any meetings are subject to available staff at Post.

Question 2: Can you clarify the process for engagement of AusAID Post in the review of CSO applications?

Answer: AusAID reserves the right to discuss applications with Posts in accordance with Clause 7.5 in the Guidelines.

Question 3: Is there a strict cap of \$10 million on proposals?

Answer: While grants for individual CSO programs are expected to be in the order of AUD 7-10 million across four years, this is an approximation; there is no cap on proposals. The actual amount that could be awarded is subject to the regional allocations and the quality of the proposal. See the answer to Question 17 in Addendum 2 for more information.

Question 4: Will AusAID accept applications from a consortia application with multiple countries for over the value of \$10 million?

Answer: **Applications will not be rejected based on the overall value of the proposal.**

Question 5: If international organisations such as the Red Cross and the Adventist Development Relief Agency work with in-country offices as partners (e.g. the Australian office partners with its equivalent in Papua New Guinea and Zimbabwe) would this be considered as a consortium?

Answer: **Yes. See the answer to Question 3 in Addendum 2 for more information.**

Question 6: The Guidelines indicate that Letters of Support are to be provided where applying in consortium. Will Letters of Support from national or local governments (or other relevant authorities) also be accepted? If yes, can these be provided as separate annexes?

Answer: **Letters of Support from national or local governments (or other relevant authorities) are not required for the proposal.**

Question 7: Do administration costs need to be justified if they are within the 10% limit?

Answer: **A brief statement against each of the categories in the budget format will be required i.e. direct activity inputs, administrative costs associated with activities and monitoring and evaluation costs.**

Question 8: Is it expected that one (1) overall budget is prepared for a multi-country submission in Annex 5 – or are applicants expected to breakdown the budget in Annex 5 for each country's activity concept? If not, is there any other area of the application where individual country budgets should be specified?

Answer: **Annex 5 in the revised Guidelines notes that a summary of the total budget for the proposal as well as individual budgets for each country activity and the inception phase will be required.**

Question 9: Is there an expectation that CSOs will co-fund the proposal? And if so what split / proportion of funding is expected?

Answer: **CSOs are not required by the Guidelines to co-fund a proposal.**

Q 10: The Cover page requests details of "CSO in-kind contributions" – please clarify what this refers to.

Answer: **See Clause 8.1 in the revised Guidelines for more information.**

- Q 11:** Where and what is ‘Annex D – Knowledge and Learning component’ in the Guidelines and Template document? Can this Annex be please be made available.
- Answer:** **Annex D is a supplementary document to the design document for the AusAID Civil Society WASH Fund. This Annex is now available on the Fund website.**
[\(<http://www.ausaid.gov.au/aidissues/watersanitation/Pages/csowash.aspx>\)](http://www.ausaid.gov.au/aidissues/watersanitation/Pages/csowash.aspx)
- Q 12:** For the Innovation and Impact Grants is it the responsibility of a recipient NGO to apply for the grant or the partner research organisation?
- Answer:** **The CSO must apply, however, to be approved the application must provide proof of partnership with a research organisation. A letter of intent and an outline of the intended work will suffice. Note that this is not required for the proposal and the Innovation and Impact Grants are only available to CSOs that successfully clear the inception phase.**
- Q 13:** Are the Innovation and Impact Grants \$200,000 each in value or \$100,000 in value (different amounts are mentioned in the document)?
- Answer:** **The grants are up to \$100,000 per annum over two years, totalling \$200,000.**
- Q 14:** We understand there is a strong element on research. If we are to conduct research activities, are these activities expected to be funded under the monitoring and evaluation component or are successful CSO grantees expected to separately apply for the research grants outlined under the Knowledge and Learning Component on page 4 of the Guidelines?
- Answer:** **The funding for the Monitoring, Evaluation and Review Panel does not include resourcing for CSOs to undertake research.**
- CSOs are encouraged to build learning and/or research activities into their proposals. CSOs may also apply for Innovations Grants if they successfully clear the inception phase.**
- Q 16:** The MERP and knowledge enhancement elements are strongly articulated within the guidelines, however, it is not clear where this fits within the Proposed Activity plan. Could AusAID please advise where within the submission we can articulate our approach.
- Answer:** **This is provided under Annex 4, sub-section 2.5, page 34.**

All other information as set out in the AusAID Civil Society WASH Fund Guidelines as dated 4 July 2012, Addendum 1 dated 4 July 2012, and Addendum 2 dated 6 July 2012, remains unchanged.



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ADDENDUM 4

Date: 20 July 2012

Pages: 3

Subject: **Addendum 4 to the Civic Society Water, Sanitation and Hygiene (WASH) Fund Guidelines**

Responses to enquiries sent to WashFund@ausaid.gov.au

Question 1: Could you please confirm there is no application form and that we must follow the structure specified in the Guideline annexes?

Answer: Yes that is correct, no form is provided, applicants are able to prepare their own proposal as long as it conforms to the structure specified in the Guidelines.

Question 2: AusAID has requested separate budgets for each country, for the inception phase and for the consolidated program. However, some budgets / activities may incur costs at a higher overarching program level. Would it be acceptable to submit a separate budget for any overarching program / monitoring and evaluation costs?

Answer: These costs can be noted in the overall budget for the proposal.

Question 3: Please advise where the standard 10% organisational overheads should be allocated within the budget template. The previous Civil Society WASH Fund split Administrative Support Costs (which would equate to the Administration costs associated with activities) versus the 10% Administration overheads. Could you please advise where we are to report the latter within the budget template.

Answer: The 10% is attributable to the costs listed under the budget template sub-heading “Administrative costs associated with activities”. These costs are expected to relate to the overall administration of the activities, including any costs associated with management of the proposal (additional lines can be added to identify these, where appropriate – see the response to Question 2 above). Costs directly associated with project inputs should be listed under “Direct activity inputs”.

Question 4: Why is there such a heavy emphasis on WASH ‘software’ (i.e. behaviour change, policy development and monitoring and evaluation) in this Fund? Did it come out of any lessons learnt?

Answer: This is a reflection of a growing emphasis in the WASH sector on the role of ‘software’ in supporting sustainable WASH outcomes. Interested applicants are encouraged to read the [design report](#) for the Fund for more context.

Note: A mid-term review and an evaluation of the previous Civil Society WASH Fund provided a number of important lessons that have informed the design of the new Civil Society WASH Fund. The reports can be accessed from the previous fund’s [website](#).

Question 5: What do you mean by Improved Gender Equality (Outcome 3) under Creating Sustainable Services?

Answer: The Fund’s Performance Assessment Framework provides more clarity on AusAID’s expectations for each of the Fund outcomes. Applicant CSOs are encouraged to become familiar with the [Performance Assessment Framework](#).

For further information on AusAID’s position regarding gender equality please read the [AusAID Gender Thematic Strategy](#).

Question 6: What is AusAID seeking to emphasise through the term ‘improved equitable use’ (Outcomes 7 and 8) under Increased Access to Safe Water and Basic Sanitation?

Answer: See the answer to Question 5 above. Applicants may also wish to become familiar with AusAID’s position regarding disability inclusive development, which is outlined on the [Disability Inclusive Development section](#) of the AusAID internet site.

Question 7: Are applicants expected to adopt the AusAID goal and (appropriate) outcome statements on page 6 of the Guidelines for their applications or should they develop their own project specific goals and objectives?

Answer: Proposals need to show how the activities will contribute to the relevant Fund outcomes. Objectives should be activity/proposal specific. It is not necessary to adopt the Fund goal.

Question 8: In the event that a CSO wishes to develop a multi-country proposal, would each country activity be expected to equally contribute across all three (3) pillars or individually contribute to different pillars but overall, the program will address all three pillars?

Answer: The activity concepts that relate to the outcomes under Improved Hygiene Behaviour and/or Increased Access to Safe Water and Basic Sanitation must also demonstrate contributions to the four outcomes

listed under Creating Sustainable Services. See the response to Question 11, Addendum 2 and page 6 of the Fund Guidelines for more information.

Question 9: Does AusAID have an expectation that an applicant's concept would be equally balanced across the three (3) pillars? If yes, would this be expected in both effort AND budget allocation? For example, hygiene activities are relatively low-cost so may represent significant effort but would not necessarily be reflected in the budget allocation in terms of dollars spent—is this acceptable?

Answer: It is not necessary to achieve a 'balance' across the outcomes for a proposal. See the answer to Question 11 in Addendum 2 for more information.

It is recognised that hygiene-related activities typically cost less than water and sanitation activities and there is not an expectation that the budgets should reflect a balanced allocation across water, sanitation and hygiene activities.

Q 10: In a multi-country regional application where target communities, theory of change and activities are the same, are separate capacity statements, country specific statements and descriptions required?

Answer: Yes. The revised Guidelines, published on 4 July 2012, provide more clarity on this issue.

Q 11: Can an organisation submit two separate proposals, one as an individual entity where it is the lead agency, and the other as a lead agency for a consortium?

Answer: While an organisation can participate in more than one consortia arrangement, it can only be the identified lead agency in one Submission. See the answers to Question 3, Addendum 2 and Question 5, Addendum 3 for more information.

Q 12: Is it possible for an organisation to submit a proposal as a lead agency while also participating in a consortium arrangement where another agency is the lead?

Answer: Yes.

All other information as set out in the AusAID Civil Society WASH Fund Guidelines as dated 4 July 2012, Addendum 1 dated 4 July 2012, Addendum 2 dated 6 July 2012 and Addendum 3 dated 13 July, remains unchanged.



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ADDENDUM 5

Date: 16 August 2012

Pages:

4

Subject: **Addendum 5 to the Civic Society Water, Sanitation and Hygiene (WASH) Fund Guidelines**

Responses to enquiries sent to WashFund@ausaid.gov.au

Question 1: In relation to Clause 5.1 (c), can a CSO provide one submission per country or one submission for the organisation that would cover multiple countries?

Answer: A proposal can cover activities in multiple countries. See the answer to questions 11 and 12 in addendum 4 for further information on consortium arrangements.

Question 2: What does AusAID mean by “individual budgets for each country activity” as per Annex 5? What is an activity for them?

Answer: An activity is considered to be the program of work for each country that is included in a proposal. For example, a proposal that seeks to deliver WASH services in five different countries would contain five activity concepts (and each of these would require an individual budget).

Question 3: The guidelines state that "Applicant CSOs are eligible to provide only one Submission". In my organisation there are foundation entities locally registered in the countries in which they are active, which are legally separate from each other. However, there is one board of directors for all. Would we be eligible to apply and submit a number of proposals for each legal entity?

Answer: No. In this instance the locally registered offices would be considered affiliates of an international CSO and would only be eligible to submit one proposal. See question 5, Addendum 3 for more information.

Question 4: Can the bid proposal include additional annexes?

Answer: Proposals are restricted to the requirements in the Guidelines and responses to enquiries posted online. Note that there is a 10 megabyte restriction on the AusAID WASHFund mailbox; proposals over 10 megabytes contained in a single email will not be received by the WASHFund mailbox. Please account for the size of both the email and attachments when submitting a proposal electronically.

Question 5: If the size of the proposal is too large for one email, are we able to submit it in two separate emails?

Answer: AusAID's strong preference is for proposals to be lodged in one email. Should a proposal be over the 10 megabyte inbox limit it is possible to split the proposal across two emails, however, this must be made clear in your email communication. AusAID accepts no responsibility should it not be clear that a proposal is split over two emails.

Question 6: Are the innovation and pilot grants and the Australian Development Research Awards Scheme (ADRAS) grants part of the present call for proposals, or are these separate grants?

Answer: The innovation and pilot grants are not part of the present call for proposals. These grants will only be open to CSOs that successfully progress through the inception phase following their selection through the current call for proposals.

The ADRAS grants are not part of the current call for proposals and will be managed separately by AusAID. More information on the ADRAS grants can be found at the following website:

<http://www.ausaid.gov.au/research/Pages/adras-funding-rounds.aspx>

Question 7: Does the WASH Program Manager need to be a currently employed person or could it be a person who would be employed if a contract was awarded?

Answer: The capacity of Key Personnel, particularly the dedicated WASH Program Manager role, is an important component that will be assessed under Section 6 of the assessment criteria in the Fund Guidelines. The Program Manager that would be responsible must be identified in the proposal.

There is no requirement that Program Manager be currently employed in the role, however, it is expected that successful CSOs would have the nominated Program Manager in place prior to the inception phase.

Question 8: Is there a particular process for assessing countries that lie outside of the list of eligible countries? Will such proposals only be considered if there are too few proposals of high quality for countries within the list?

Answer: See the answer to Question 8 in Addendum 2 for more information.

Q9: Is there a standard form for the letter of association for the different consortium members?

Answer: No, there is not a standard form for the letter of association. The Guidelines note a letter of association is limited to one page and it can be provided as an annex to the submission.

Q 10: Does each consortium member need to sign the applicant declaration (at Annex 2) or is the Letter of Association enough?

Answer: **Only one applicant declaration needs to be provided. This must be provided by the lead applicant in the case of a consortium.**

Q 11: We are currently arranging letters of association for our CSO partners that are supporting the bid on specific thematic areas. We are not clear however if we need to include letters of association for all of our regular implementing partners i.e. the local NGOs that we usually work through to implement our programmatic work.

Answer: **In a consortium arrangement, letters of association would be required from the lead applicant, the in-country implementation agency and any partners working across activities.**

Where a proposal uses local delivery partners that are engaged by the in-country implementation agency, such as through a sub-contacting arrangement, a letter of association will not be required from the local delivery partners.

Q 12: Clause 5.4 (a) (iii) notes that the value for money consideration will include an assessment of “the relative risks within the proposal, and risk analysis and management plan outlined” in the proposal. It is not clear which of the annexes must include the risk assessment. Could you please advise?

Answer: **Assessment Criteria 1 of the In-Country Delivery Capacity, and Assessment Criteria 7 of the Activity Concept, identifies programmatic opportunities and risks as elements that will be assessed from the Country Specific Capacity Statement and Activity Concept in Annex 4.**

A more comprehensive risk assessment and management plan will be developed during the inception phase for successful CSOs.

All other information as set out in the AusAID Civil Society WASH Fund Guidelines as dated 4 July 2012, Addendum 1 dated 4 July 2012, Addendum 2 dated 6 July 2012, Addendum 3 dated 13 July and Addendum 4 dated 23 July, remains unchanged.



Date: 17 August 2012

Pages:

2

Subject: **Addendum 6 to the Civic Society Water, Sanitation and Hygiene (WASH) Fund Guidelines**

Responses to enquiries sent to WashFund@ausaid.gov.au

Question 1: Are ‘Administration costs associated with activities’ the same as ‘recurrent administration costs’ or are these terms referring to different types of administration costs?

Answer: The Fund Guidelines’ references to administration costs associated with activities and recurrent administration costs are different terms for the same cost line in the budget template.

Note that Annex 5 is requesting an indication of the level of funding required. The final budget will be confirmed during the inception phase.

See the responses to questions 2 and 3 in Addendum 4 for more information.

Question 2: Can travel costs directly attributable to direct activity inputs and monitoring and evaluation be shown under the headings ‘Direct activity inputs’ and ‘Monitoring and evaluation costs’ or are all travel costs considered under ‘Administrative costs associated with activities’?

Answer: Yes, where those costs are essential to the conduct of activities.

Question 3: Can AusAID please clarify if the budget justifications required for Annex 5 are only required for the summary budget? Does the budget justification need to adhere to the one page limit?

Answer: A justification is only required for the total budget. The expectation is that the justification provided would make reference to the individual activity budgets. The justification should be limited to one page and be provided in addition to the one page limit applied to the budget template.

As noted in question 7, Addendum 3, the justification should consist of a statement against each of the categories in the budget template i.e.

direct activity inputs, administrative costs associated with activities and monitoring and evaluation costs.

Question 4: Can AusAID please clarify if only one budget for the inception phase is needed, even if an applicant is submitting a proposal for multiple countries? Or, alternatively, is a separate inception phase budget required for each country included in a CSO's application?

Answer: **Only one budget is required for the inception phase. Please note that these budgets are indicative and should be based on the assumption that staff will attend a regional workshop in Southern Africa, South Asia, South East Asia and/or Australia.**

Question 5: Can AusAID please clarify if the summary of the total budget for the proposal should include the inception phase?

Answer: **As noted in Section 8.1 of the Fund Guidelines, the budget for the inception phase should be considered separate to the actual proposal and activity budgets. The summary of the total budget should not include the inception phase.**

Question 6: Can AusAID please confirm the duration of the inception phase?

Answer: **Six months has been allocated for the inception phase by AusAID. However, most organisations are expected to complete the inception phase in around four months. On that basis AusAID is asking for inception phase budgets to cover a four month period.**

In addition to the above points of clarification, the AusAID Civil Society Water, Sanitation and Hygiene Fund - Guidelines and Templates document has been revised as of 17 July 2012 as follows:

Section 7, Clause 7.4 (d), p. 22

Delete existing Clause 7.4 (d), Section 7 and replace with new Clause 7.4 (d), Section 7 as follows:

(d) AusAID will respond to any Applicant CSO's request for clarification no later than four (4) days prior to the Closing Time.

All other information as set out in the AusAID Civil Society WASH Fund Guidelines as dated 4 July 2012, Addendum 1 dated 4 July 2012, Addendum 2 dated 6 July 2012, Addendum 3 dated 13 July, Addendum 4 dated 23 July and Addendum 5 dated 16 August 2012 remains unchanged.



Date: 21 August 2012
5

Pages:

Subject: **Addendum 7 to the Civic Society Water, Sanitation and Hygiene (WASH) Fund Guidelines**

Responses to enquiries sent to WashFund@ausaid.gov.au

Question 1: If an organisation is a non-profit, non-Australian organisation that has not been accredited by AusAID, we understand that, among other documents, we must submit as per Eligibility Criteria Clause 5.1 (a) (ii), evidence that the organisation is signatory to an equivalent to the ACFID Code of Conduct or AusAID Statement of Development Practice Principles. Can you please clarify what is an equivalent to the ACFID Code of Conduct?

Answer: The ACFID Code of Conduct represents the active commitment of overseas aid agencies or non-government development organisations to conduct their activities with integrity and accountability. AusAID is looking for all applicants to demonstrate a commitment to conducting their activities with integrity and accountability.

Equivalent examples to the ACFID Code of Conduct include, but are not limited to, standards associated with membership of InterAction in the United States, Bond in the United Kingdom or other peak bodies representing organisations in international development.

An application can still be eligible without evidence of being a signatory to the ACFID Code of Conduct or an equivalent, however, an explanation should be provided as to how an applicant would demonstrate integrity and accountability in the conduct of their activities. This can be provided as an annex along with other documentation pertaining to Section 5.1 (a).

Question 2: How can a CSO become a signatory to the AusAID Statement of Development Practice Principles?

Answer: A standard process does not exist for becoming a signatory to the AusAID Statement of Development Practice Principles. The Principles form part of an annex to funding agreements with CSOs that are not accredited with AusAID and all applicants must demonstrate a commitment to adhere to the Principles as part of any proposal.

Question 3: In the Past Experience Form, Annex 4, two Activity Referees are requested to be nominated. Should these referees be people who were external to the organisation implementing the activity or should they be people who were directly involved in implementing the activity and therefore have a good knowledge of the details?

Answer: **The referees should be people who had experience with the relevant activity cited in the Past Experience Form.**

Question 4: Can the Past Experience Form for each activity be one page, or must all Past Experience Forms fit on one page?

Answer: **Each Past Experience Form has a limit of one page in length. Up to two Past Experience Forms can be submitted for each activity concept.**

Question 5: Clause 5.1 (a) (v) requires organisations that are not accredited by AusAID or have not previously received AusAID funding to provide an outline of its work program. Is this for a particular financial year?

Answer: **The overview of the work program should concern the organisation's planned activities for the 2012/13 financial year or the 2013 calendar year, depending on which time period the organisation works to.**

Question 6: The Fund Guidelines note that where an Applicant CSO is currently engaged in three or more NGO Partnership Agreements funded by AusAID they must demonstrate that they have the capacity and systems in place to meet the obligations and requirements of an additional agreement. Does this mean the Applicant CSO needs to provide something in addition to the letter of association? Is so, can you please clarify what is required?

Answer: **As noted in the Fund Guidelines, a separate document should be attached as an annex to each proposal demonstrating that an organisation has the staff and other in-kind resources in place to support all agreements entered into with AusAID.**

Question 7: Can the Lead CSO Applicant use AusAID Post as a referee?

Answer: **CSO's may not use AusAID Posts for references, but may mention in proposals programs worked on for AusAID if relevant. AusAID reserves the right to discuss applications with posts in accordance with Clause 7.5 in the Guidelines, and consider relevant performance information if applicable.**

Question 8: Is it possible to attach diagrammatic appendices to the capacity statements outside the 4 and 7 page limits, specifically to support the narrative description of the theory of change and the organisational structure proposed to ensure communication, reporting and technical quality?

Answer: The specified page limits must be adhered to. See the response to Question 4, Addendum 5.

Question 9: In regards to the AusAID Child Protection Policy, this policy requires all partner organisations to have a Child Protection Policy. We are aware that not all of our partners have a child protection policy in place. Can you please advise a clear process of how we can comply with this clause? What documentation do you require from the applicant CSO in this concept submission?

Answer: No additional documents are required. This will be addressed in more detail during the inception phase. Lead organisations will be required to confirm they are aware of the requirements of the AusAID Child Protection Policy, and that they must ensure all partner organisations are also aware, and act in accordance with this policy, and look to develop their own policies in this area.

Q 10: Could AusAID please clarify the difference between the WASH Fund Manager and the WASH Program Manager roles? Are they one and the same or different roles?

Answer: These terms have been used interchangeably and this is an error in the Fund Guidelines. To clarify, these terms refer to different positions. The WASH Fund Manager is a position funded by AusAID separately to assist AusAID with administrative management of the program, while the WASH Program Manager is a position AusAID requires lead agencies to put forward to manage the CSO's specific WASH program of work or activities, as part of the program.

The WASH Program Manager position is assessable under the Fund Guidelines. Page 31 of the Fund Guidelines requires the provision of a Curriculum Vitae, or CV, for the nominated WASH Program Manager as part of this assessment.

Q 11: In relation to Annex 3, in what instances would a Consortium Agreement be considered relevant and what information would it contain that is not already covered in the Letter of Association?

Answer: Upon review AusAID has revoked this requirement. Only Letters of Association will be required from consortium members. This change affects Annex 3, Section 5, which has been deleted and replaced with:

5 LETTERS OF SUPPORT (CONSORTIUM ONLY)

Details of the Consortium members' corporate commitment and involvement in the Submission should also be described in the form of a single page Letter of Association included as an Annex to the Submission. *Note that this is not included in the four page limit for the capacity statement.*

This change will not discriminate against any proposals that may have already been lodged with a Consortium Agreement included.

Q 12: Annex 3 of the revised Fund Guidelines goes from Clause 3.1 to 3.3. Please confirm there isn't a missing 3.2 question and that this is purely a numbering issue.

Answer: **This is a formatting error. There is no missing requirement against Clause 3.2.**

Q 13: Please clarify the page limit for providing details against Annex 3.

Answer: **A page limit of four pages applies to Annex 3. In effect this covers Sections 1, 2, 3 and 4. Details for Sections 5 and 6 are not included in the four page limit for Annex 3.**

Q 14: Under Clause 6.1.2 it states that "Submissions will be assessed first against the following criteria. Submissions that score less than 60% may be excluded from assessment of the Country Specific Capacity Statement...."

Does this mean that the Applicant CSO Capacity (Part C) is a Go/No Go point in the selection process?

Answer: **Yes, 6.1.2 is stating this section of the proposal is a pass/fail point. Applications will need to clear this step of the assessment process in order to proceed to assessment of the in-country capacity statements and activity concepts.**

Q 15: On page 37, the guidelines ask that applicants "indicate the proportion of budget allocated to water, sanitation and hygiene activities separately for the whole proposal." Can AusAID provide guidance on how to disaggregate costs that apply to more than one of these categories?

Answer: **AusAID requires the applicant to determine an appropriate methodology for providing estimates of the whole proposal including costs for water, costs for sanitation and costs for hygiene.**

Q 16: With regards to the request for a breakdown of water, sanitation and hygiene costs (page 37), is this for the current budget (following the template) or this is at a further stage of the application process?

Answer: **This must be applied to the total budget.**

Q 17: Does the 10% administrative cost ceiling apply to the Inception Phase?

Answer: **No. Clauses 5.1 (g) and (h) do not apply to the inception phase budget.**

Q 18: Should budgeted expenses of partners to the lead agency be incorporated throughout the budget or included as one line in the budget, such as "Other" under Direct Activity Inputs?

Answer: They should be incorporated into the budget.

Q 19: On page 10, the Fund Guideline instructs that: “If submitted electronically, only one copy is required in the PDF format”. Will AusAID please clarify whether “one copy” is intended to mean one file with all the components together in one attachment or one email where each component can be its own file attachment?

Answer: AusAID’s preference is that applicants submit one file that includes all relevant documentation, however letters of association etc can be provided as individual attachments in the same email.

Q 20: Do applicants have to submit both hard copy and electronic copies of their proposals?

Answer: No. Applicants need to submit either an electronic copy or a hard copy, not both. Note that AusAID’s preference is for electronic copies.

No further addendums or responses to questions to the WashFund mailbox will be provided, as per Clause 7.4 (a) of the Guidelines.

All other information as set out in the AusAID Civil Society WASH Fund Guidelines as dated 4 July 2012, Addendum 1 dated 4 July 2012, Addendum 2 dated 6 July 2012, Addendum 3 dated 13 July, Addendum 4 dated 23 July, Addendum 5 dated 16 August 2012 and Addendum 6 dated 17 August 2012 remains unchanged.