

## ADDENDUM 3

**Date:** 15 September 2017

**Pages:** 4

**Subject:** Addendum 3 to the Competitive Grant Guidelines – Water for Women Fund (Civil Society Organisation Component) of 18 August 2017

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Applicants are advised of the following:

### **Correction to Addendum 1, Answer 33 (Please also refer to Answer 22 of this Addendum 3)**

Item 1: Delete existing Answer 33 to Addendum 1 and replace with new Answer 33 to Addendum 1 as follows:

“Grants (inclusive of both inception and implementation grants) are expected to range in value from AUD2.5 to AUD10 million over the period of the Fund. There is no annual budget at this stage and the Fund Coordinator will provide periodic tranche payments. Adjustments to CSO’s proposed annual budgets may be negotiated during the inception phase.”

### **Questions Raised in Writing by Interested Applicants**

- Q1. Under the Fund's three components (page 3 of grant guideline), is component C meant for the Water for Women Fund granter or the CSO grantee? - what level of knowledge and learning will be required for the CSO grantee?
- A1. During implementation and particularly through monitoring and evaluation processes, CSOs will be expected to support, document and share innovative approaches with other stakeholders in the Fund – referred to as ‘knowledge and learning’ (K&L) in this Fund.
- Q2. Is the \$10.6 million Research Component (page 14 of grant guideline) the same as component B of Fund's three components (page 3 of grant guideline)? Please provide more detail on this Research Component.
- A2. Yes, it is the same component. Please also refer to Addendum 1, Q19, Q22 and Q39.
- Q3. Can a CSO apply to the \$10.6 million Research Component or are there other requirements for this grant?
- A3. Please refer to Addendum 1, Q19, Q22 and Q39.
- Q4. Should CSO proposal focus on contributing to Fund's intermediate outcomes or end-of-program outcomes or both?
- A4. Both.
- Q5. Does the project we proposed have to achieve all 4 outcomes you have been mentioning on guideline? Can our proposal only answer two or three of 4 outcomes?
- A5. Your proposal’s theory of change should be consistent with, and contribute to, the Water for Women Fund’s outcomes (see Criterion 4 in the Competitive Grant Guidelines, page 22). It is likely that different projects will have different emphases; however, proposed projects need to address all four Fund outcomes to some extent.

- Q6. About the type of target areas, has DFAT decided only one type of area (rural or urban, or both)? For Indonesia, are project only intended for the Eastern part of Indonesia or to other part of Indonesia? Can we also propose for Java island in rural /remote area?
- A6. The Water for Women Fund is expected to operate in both urban and rural areas. It is up to the CSOs to nominate and support the rationale for the selection of their project locations.
- Q7. Will initial proposal also include implementation phase? or, only to inception phase? for CSO as implementer of project and in form of consortia, can you please explain about inception phase?
- A7. Proposals are for both the inception and implementation phases. Please also refer to Addendum I, Q10.
- Q8. In online application form, DFAT requires referee report. Our question is that the referee report you ask whether referee report of lead manager for proposed project, or referee report of organisation/CSO that will submit proposal?
- A8. Both. A Lead Manager referee report is required as are the name and contact details of a referee for each past experience program or project. Please also refer to Q9 in this Addendum.
- Q9. Can you please clarify what does it mean “lead manager referee report (up to 2 pages each, signed and dated)” in the proposal format? Who can provide the referee report and what does it entail?
- A9. It is up to the CSO to approach the appropriate person to provide a referee report for the Lead Manager. CSOs can provide up to two referee reports for the Lead Manager. The format of the referee reports are not specified, other than the two page limit. The referee should have the capacity to comment on the nominated Lead Manager’s suitability for the role based on previous interactions with the nominated person.
- Q10. Is an application for less than \$2.5 million possible?
- A10. Any proposal for a project of less than AUD\$2.5 million in value (or more than AUD\$10 million) would need a clear justification and would only be considered in exceptional circumstances.
- Q11. Consortia: Multiple country proposals - The SmartyGrants form (CSO Organisational Profile section) allows for the Applicant to indicate whether the application is being made on behalf of a consortium and also allows for the Applicant to indicate whether it (i.e. the Consortium) is submitting multiple proposals. Equally, Section 3 of the Water for Women Competitive Grant Guidelines allow for proposals involving consortia (point 3, page 5) and permits CSOs to submit multiple proposals, one for each project (point 5, page 5). Can DFAT confirm that this means that a CSO acting as a Lead Agency for a consortium can on behalf of that consortium submit multiple proposals, one for each project in a specific country?
- A11. A CSO may be a Consortium’s Lead Agency for multiple proposals.
- Q12. Research: The Water for Women Investment Design Document identifies that as part of the Fund Knowledge and Learning component Innovations and Impact Fund grants of two differing scales will be made available to CSOs selected for Water for Women, with larger scale grants (up to \$200,000) requiring collaboration by the CSO with a recognised research organisation (section 9.6, page 37, bullet 2). This information is reiterated in Annex 8 (Section 3, page 45, bullet 2, sub-

bullet 2). Can DFAT please clarify the 'differing requirements' (Investment Design Document, section 9.6, page 37, bullet 2) for the smaller scale Innovations and Impact Fund grants (up to \$50,000).

- A12. The purpose of the Innovations and Impact Fund Grants is to support the piloting of innovations by individual CSOs (consortiums are also eligible), including the scaling up of successful interventions, undertaking action research activities in innovative areas, and conducting valuable impact assessment activities. The specific requirements for these grants will be developed by the Fund Coordinator in consultation with the Fund Steering Group and DFAT.
- Q13. Partners – Under the CSO Organisational Profile section in the SmartyGrants application applicant CSOs are asked to describe any non-consortium partners to be involved in the project being proposed. Can DFAT confirm that CSOs can use the ANCP definitions/descriptions of 'partner type' and 'partner relationship' as presented in the ANCP Annual Development Plan format in SmartyGrants in regards to this section of the proposal?
- A13. Yes, you may use the ANCP lists of 'partner type' and 'partner relationship' in the ANCP SmartyGrants form, however you do not need to limit yourself to these lists.
- Q14. Implementation Budget - in the SmaryGrants application applicant CSOs are required to submit a relatively detailed budget for the implementation phase of their proposed project, as well as a budget for the inception phase. The purpose of the inception phase is *inter alia* for selected CSOs "to develop feasible, culturally appropriate, politically relevant, technically considered and collaboration-founded projects" and to produce "high quality gender and inclusive Project Design Documents that can be approved by DFAT" (Investment Design Document, Volume 2: Annexes, Annex 5, page 22, bullet 1). Since this detailed design process is likely to prompt amendments to project activities, and potentially also partnerships, staffing and other elements of implementation design, can DFAT advise as to the scope for the Implementation Budget submitted with the proposal to be amended in light of any required changes identified during the detailed design process.
- A14. This will be on a case by case basis, determined by discussions between CSOs and the Fund Coordinator. It is expected that CSOs' proposed budgets will be realistic.
- Q15. Duration of Inception Phase – In the first Addendum released, the answer provided to question #18 clarifies that the 5 years of W4W includes *both* the inception phase and the implementation phase (see also Q34); although the duration of inception is still unclear (Q35 'can be up to 6 months') and even the start of inception is not clear: Q18 says November but Q35 says December. Can you please clarify that?
- A15. The length of time required for the CSO selection process will depend partly on the number and nature of proposals submitted. This will in turn influence the start of the inception phase and identifying a precise start date is not possible. The intention is to commence the inception phase as soon as possible and this will be in the November to December 2017 period. Please also refer to Addendum 1 Q35.
- Q16. Is the inception Phase still competitive? – Also in the same Addendum document, the answer provided to question #10 does not mention the 'once selected you are in' statement that was made at the meeting on August 25<sup>th</sup>. Can you please clarify whether the Inception Phase will still be competitive or not?
- A16. The Inception Phase will not be competitive, however, selected CSOs will only progress to an implementation agreement after a project design document is finalised and approved.

- Q17. Regarding the question - If not Australian organisation what is your company reference number? What does this refer to?
- A17. An applicant would need to demonstrate that it is a legally registered organisation with all relevant approvals to operate in the project nominated country. CSOs need to provide this relevant registration/ identification code.
- Q18. What is ABN? What is the eligibility criteria for getting this ABN? How can we get this number? How much time it takes in getting this number?
- A18. An ABN is an Australian Business Number that identifies your business to government and the community. Visit [www.business.gov.au](http://www.business.gov.au) for further information on eligibility and application process. Overseas based CSOs are not required to have an ABN.
- Q19. Regarding "partnership," is it part of expectations that CSOs partner with local governments? If partnership with local government (or semi-government) is possible, we would also like to know if there is any restriction/ limitation particularly for working with public entities, other than the remark that construction of CSO infrastructure should not be included in the project cost (therefore not for its partner either, we understand).
- A19. It is up to the CSO to identify partnerships, including with local governments, based on the context in the proposed country and location. There are no restrictions, though the Fund Manager may request or conduct due diligence checks on partners if required by DFAT. Please also refer to Q19 in this Addendum.
- Q20. Would DFAT consider an application for \$500 000 a year over 5 years?
- A20. Yes. The range of AUD\$2.5 to AUD\$10 million mentioned in Page 6 of the Competitive Grant Guidelines is for a five year period. Please also refer to Addendum 1 Q33.

## **SmartyGrants Amendments**

Nil

All other information as set out in the Water for Women Fund Competitive Grant Guidelines dated 18 August 2017 remains unchanged.