

ADDENDUM 1

Date: 1 September 2017

Pages: 6

Subject: Addendum 1 to the Competitive Grant Guidelines – Water for Women Fund (Civil Society Organisation Component) of 18 August 2017

Applicants are advised of the following:

Questions Raised During the Applicant Briefing on 25 August 2017

- Q1. Will the full budget developed during the Inception Phase need to be more detailed than the one submitted in the initial proposal lodged via SmartyGrants?
- A1. Yes. The proposal requires a less detailed budget. While you are expected to have thought through your full budget before applying, it is expected that the budget will become more detailed during the inception phase.
- Q2. Do the Past Experience Form/s submitted have to relate to the specific country that the proposal is being made for or can examples from other countries be used?
- A2. The Past Experience Form/s can relate to work in any country, though it is expected that evidence will be provided of your ability to move into a new country if you have not worked there before.
- Q3. Regarding the analysis required under Selection Criterion 3 and the word limits, how much detail are you looking for in the initial proposal phase?
- A3. You are expected to distil your analysis to meet the word limits applicable to each section of the SmartyGrants form.
- Q4. What is the nature of the evaluation committee?
- A4. There are four (4) members in the Evaluation Committee (EC). There will be equal representation from the Department of Foreign Affairs and Trade (DFAT) and the Fund Coordinator (FC). The FC representatives will be subject to discussions between DFAT and the FC, currently being selected through a separate and parallel tender process. The Office of Development Effectiveness evaluation of the Civil Society (CS) WASH Fund pointed to the need for sufficient and relevant skill set in the EC. DFAT will work to ensure we have the right skill set in the EC.
- Q5. What is the definition of a Consortium?
- A5. A Consortium is a partnership where each partner has signed a formal Consortium Agreement that sets out details of the partners' corporate commitment and involvement in the project proposal. A Consortium is led by a Lead/Applicant CSO who will be the legal entity that enters into a grant arrangement with the FC, and the other Consortium partners will enter into any agreements with the Lead/Applicant CSO of the Consortium. A letter of association or intent (a Consortium Agreement) should be in place with each identified partner and submitted with your proposal.
- Q6. If we have an in-country partner, do we have to form a Consortium with them?
- A6. No. DFAT allows for Consortium arrangements (as defined in Answer 5) but they are not treated more or less favourably than other forms of coalitions or partnerships where a formal Consortium Agreement has not been signed.

- Q7. Can multiple people work on a proposal in SmartyGrants?
- A7. Yes, though not at the same time. Note that only one email address can be used to log in to each proposal.
- Q8. Are there file size limitations when uploading documents to SmartyGrants?
- A8. Yes. Each file can be a maximum of 25Mb.
- Q9. Who do I contact with technical issues with the SmartyGrants form?
- A9. Email waterforwomen@dfat.gov.au, copied to smartygrants@dfat.gov.au.
- Q10. Can you provide more details about the Inception Phase?
- A10. The purpose of the Inception Phase is to fine tune your project theory of change to make sure it fits with the Water for Women Fund (the 'Fund') and to finalise your project design document. An Inception Workshop (also described as a Design and Partnership Workshop) is planned for March 2018 in Canberra. DFAT intends to have technical expertise (WASH, Gender, M&E in particular) available and possibly run sessions on political economy and on gender in practice. A "ways of working" workshop, run by an independent facilitator, to broker clear working arrangements between the FC, DFAT and Civil Society Organisations (CSOs) is also planned.
- Q11. If submitting in a Consortium, does the Lead Manager need to be from the lead/applicant organisation or can they be from an in-country partner?
- A11. It is up to the Consortium to determine who will be the Lead Manager. It is not a requirement the Lead Manager is from the lead organisation. The lead/applicant organisation will have contractual responsibility to the FC, including for funds, personnel and activity delivery of its own and any partners' inputs.
- Q12. If a CSO is successful independently and as part of a Consortium, will the grant agreements be treated completely separately or will they be treated as one?
- A12. The FC will be responsible for entering into grant agreements with CSOs. We hope to minimise the number of grant agreements so it is likely that each CSO may have one agreement even if they have multiple successful proposals.
- Q13. It is a WASH program but there is a lot of emphasis on gender and social inclusion. How far into these arenas can we go?
- A13. DFAT is relying on CSOs to propose your theory of change. It is up to CSOs to present value towards the Fund outcomes and goals and to propose what you think is appropriate. All proposals will be assessed against the Selection Criteria, which includes a focus on gender and social inclusion.
- Q14. Is there a way to link multi-country proposals in SmartyGrants to show the overall value?
- A14. Yes. Page 2 of the SmartyGrants form, under the heading of 'Multiple Proposals' allows for this. Note the need for Project Titles to be accurately entered.
- Q15. Are there any sections in the SmartyGrants form that need to be the same across all proposals submitted by a CSO or should all sections be unique to the project?
- A15. The first three pages may include some repetition of information (e.g., contact details) but the rest of the form should relate to the individual project proposal.

- Q16. If a CSO is submitting three (3) project proposals with a combined total value of \$11 million, are they viewed as costed individually or costed as a group?
- A16. Each project proposal is viewed as being costed individually.
- Q17. If no proposals are received for a particular country, will DFAT approach CSOs to seek interest in this particular country?
- A17. Not necessarily. DFAT does not consider it mandatory to have a project in every country.
- Q18. Should the proposed budgets cover 4.5 or 5 years?
- A18. Project budgets include both the inception and implementation phases. The intention is for all inception grants to commence in November 2017 and for all projects to cease five years later in December 2022.
- Q19. Will there be a draft document of the Research component in the public domain before the closing date for the CSO component?
- A19. No. DFAT anticipates the FC will announce the Research component during the Inception Phase. This will allow for collaboration between research organisations and CSOs, especially for the research projects that are related to projects implemented by CSOs.
- Q20. Will the Fund be divided into regional 'pots'? If so, what are the proportions?
- A20. Not specifically. The intention is to have a decent geographic spread aligning with the DFAT Aid Program and interest.
- Q21. Is it likely that there will be multiple projects funded in single countries?
- A21. It is possible as some countries do lend themselves to this and there might be quite different proposals – policy vs service delivery – in a single country and which together would present a complementary set of activities.
- Q22. Is there clear delineation between the Research component and the CSO component? How do the two fit together?
- A22. Research grants target organisations that have research as their primary activity. There are two grant types under the Research component: (i) broader, long-term WASH research addressing key knowledge gaps in the Asia Pacific region; and (ii) research closely linked to CSO implementation in the Fund. The second type of research grant complements CSO projects under the Fund. CSOs may include some research in their proposals although this is not mandatory. Generally, proposals with a significant research activity would be considered more suitable for the research component.
- Q23. Can you elaborate on the impact and innovations grant?
- A23. These grants are part of the current CS WASH Fund. During the course of the Water for Women Fund, the grants will be made available to implementing CSOs (subject to an application process). This will allow for the testing of, and learning from, innovations to contribute to the ongoing development of WASH sector policy and approaches.
- Q24. What is the role of Posts in the selection process?
- A24. Before submitting proposals, it is preferred that organisations speak with DFAT offices overseas (Posts), or at least consult the relevant Aid Investment Plan (see www.dfat.gov.au) to ensure maximum complementarity with existing DFAT activities. The Evaluation Committee may consult with DFAT Posts about proposed projects during the assessment of proposals.

- Q25. Can you provide clarification on the role of the Lead Manager? Does this refer to the manager that will lead the program at a country level?
- A25. The Lead Manager will be the interface between the FC (and DFAT). It is expected they be sufficiently across the activity and the grant agreement requirements to manage all aspects of delivery and accountability to the FC. The Lead Manager can be in-country or otherwise.
- Q26. If an organisation has a reasonable number of applications, can one Lead Manager be nominated for all of them?
- A26. Yes.
- Q27. Regarding the Lead Manager position, what is the expectation for those people currently involved in the CS WASH Fund overlapping into the Water for Women Fund?
- A27. If you are proposing a Fund Manager who is the current Fund Manager of a CS WASH Fund activity, this is fine. Please describe how the transition would be managed to ensure adequate resourcing for both activities.
- Q28. Can footnotes/referencing be used in SmartyGrants?
- A28. There is no specific format for referencing. Word count limits must be adhered to.
- Q29. Can you clarify the word limits that apply to attaching files in SmartyGrants?
- A29. There are no word limits for attachments; however, there are page limits for the Lead Manager's CV and written references (as detailed in the Selection Criteria). The Evaluation Committee will not consider any information above the page limits. The length of all other attachments should be proportional to the question and the project, and we expect attachments to be legible.

Questions Raised in Writing by Interested Applicants

- Q30. Is my organisation eligible to apply for a grant under the Water for Women Fund?
- A30. The organisation eligibility criteria is set out in the Water for Women Fund Competitive Grant Guidelines accessible at <http://dfat.gov.au/about-us/business-opportunities/tenders/Pages/water-for-women-fund-request-for-proposals.aspx>.
- Q31. Can non-Australian civil society, non-government or not-for profit organisations apply for a grant individually?
- A31. Yes. Proposals are invited from non-Australian civil society and not-for-profit organisations engaged in the sector (including international and partner country organisations). If they are not accredited by DFAT, shortlisted organisations may be contacted to provide other documents to help DFAT and the FC assess the organisation's management capacity, systems and operations. These documents include:
- a. a copy of the organisation's constitution or articles of association;
 - b. evidence that the organisation is signatory to an equivalent to the ACFID Code of Conduct;
 - c. an audited annual financial statement certified by a public accountant who is not a member of the organisation;
 - d. a copy of the organisation's annual report, or a similar document; and
 - e. an outline of the organisation's work program.

- Q32. Can a non-Australian civil society, non-government or not-for profit organisation be the Applicant CSO leading a consortium?
- A32. Yes. If the Applicant CSO is not accredited by DFAT and the proposal is shortlisted, they may be contacted to provide other documents to help DFAT and the FC assess the organisation's management capacity, systems and operations (refer to points a-e in A31 above).
- Q33. What is the minimum and maximum budget range for one project per year?
- A33. It is expected implementation grants will be between AUD2 and AUD10million each (with some opportunity for outside this range – refer to the guidelines for details). However, there is no annual budget at this stage. The FC will provide periodic tranche payments. Adjustments to CSO's proposed annual budgets may be negotiated during the inception phase.
- Q34. What is the total duration for one project?
- A34. Five (5) years.
- Q35. Regarding the Inception Phase could you clarify: i) the length of the period and; ii) provide further details to guide expected costs to be included for the attendance at a Design and Partnership Workshop, including for example indicative days, location and who would be anticipated to be represented per project and/or CSO?
- A35. i) The inception period has no mandatory set length and is up to six (6) months as indicated in the guidelines. The intention is for all inception grants to commence by December 2017. Which means that if a CSO requires a six (6) month inception period, then that will take them to June 2018 before they mobilise. Some CSO may be ready to mobilise sooner than June 2018.
- ii) The inception workshop (also described as a Design and Partnership Workshop) is expected to run for five (5) days in Canberra on premises arranged by DFAT and/or the FC. Catering (lunch, morning and afternoon tea etc.) will be provided. DFAT intends to have technical expertise (WASH, Gender, M&E in particular) available and possibly run sessions on political economy and on gender in practice. Travel expenses for attendance by CSOs will be covered from the Inception grant (up to AUD100,000 each grant). Attendance from CSOs with an Inception grant is compulsory; however, CSOs should determine who should attend. The FC may provide guidance closer to the workshop date.
- Q36. Can you publish the list of Applicant Briefing attendees?
- A36. A number of organisations are interested in partnering and/or making connections for this Water for Women Fund. DFAT can provide a list of these organisations online at the [DFAT Business Opportunities website](#). If your organisation would like to appear on this list, please email waterforwomen@dfat.gov.au with your organisation name, contact person name and email address.
- Q37. Can you provide guidance on Section 3.1 (2 b) of the Competitive Grant Guidelines "evidence that the organisation is signatory to an equivalent to the ACFID Code of Conduct"?
- A37. ACFID is the peak body for Australian non-government organisations (NGOs) involved in international development and humanitarian action. The ACFID Code of Conduct is a voluntary, self-regulatory sector code of good practice for ACFID members, hence non-Australian NGOs would not be required nor able to sign up to the code. Please refer to <https://acfid.asn.au/content/about-code> for more details. DFAT cannot advise about the similarity of other codes to the ACFID code and it is the responsibility of the applicant to make this consideration before submitting a proposal.

- Q38. As a non-Australian organisation, is partnering with an Australian accredited organisation a good value add to our proposal?
- A38. DFAT cannot advise you on whether it would be advantageous to partner with an Australian accredited organisation. DFAT and the FC will be looking at the overall competence of the applicant, their specific knowledge and expertise in the WASH sector and their in-country capability in addition to the quality of the proposed project. An applicant may wish to highlight the knowledge, expertise and in-country capability brought in by any partners to strengthen their proposal.
- Q39. Is my organisation eligible to apply for a grant under the Research component of the Water for Women Fund? When do applications for the Research component open?
- A39. Full details of eligibility for research grants will be made available when the call is made for research proposals, expected to be later in 2017. In principle, it is up to the individual organisation to determine if they are eligible – in this case, research would need to be a prime function of the organisation.
- Q40. Will there be an opportunity to apply in another year's time or will everyone sign up for five (5) year agreements?
- A40. There is unlikely to be further opportunities to apply for the Water for Women WASH Fund. The Request for Proposals closes on 6 October 2017 (17:00 AEDT). The intention is for all inception grants to commence in November 2017 and cease five years later in December 2022.
- Q41. Are you encouraging applications from consortia?
- A41. Applications are invited from consortia. Refer to the definition of a Consortium in Answer 5.
- Q42. Is there an application form?
- A42. Applications must be submitted via the [SmartyGrants online application form](#).
- Q43. Can an organisation lead more than one (1) consortium?
- A43. Yes.

Attachments to this Addendum

1. Presentation from Applicant Briefing held on 25 August 2017 in Melbourne, Australia

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