

ADDENDUM 4

Date: 22 September 2017

Pages: 5

Subject: Addendum 4 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 in Writing by Interested Applicants

- Q1. Can you clarify the types of projects that can be submitted?
- A1. Project proposals should be consistent with the details set out in the Competitive Grant Guidelines, in particular but not exclusively, the Fund Theory of Change and the context analysis of the WASH sector in the relevant location.
- Q2. Section 7.2 in the Investment Design Document states that 'Grant sizes for each individual CSO project are expected to be between \$2.5 million and \$10 million over a 5 year period' whereas the application form states that 'Applicants are reminded that a maximum of AUD100,000 per proposal'. Can you provide clarification on this aspect?
- A2. 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. The reference in the SmartyGrants application form to 'a maximum of AUD100,000 per proposal' refers to the Proposed Inception Phase Budget only.
- Q3. Section 3.1 of the Competitive Grant Guidelines states that 'DFAT invites proposals for projects from civil society and not-for-profit organisations that are currently engaged in promoting access to water, sanitation and hygiene services in Asian and Pacific countries'. Does 'currently engaged' mean that we must have ongoing projects to be eligible or can we be deemed eligible based on having previously completed WASH projects?
- A3. It is not necessary for an applicant to have an existing WASH project in the country for which they are submitting a proposal. However, they must demonstrate, among other things, a good understanding of the WASH context in that country and sufficient in-country ability to implement an effective WASH program.
- Q4. For Non-Australian civil society and not-for-profit organisations engaged in the sector, how do we establish evidence that the applying organisation is signatory to an equivalent to the ACFID Code of Conduct?
- A4. This evidence is not required to be submitted at the time of application but may be requested at a later date. Please also refer to Addendum 1, Q37.
- Q5. Does the applying organisation need to provide a separate budget for the inception grant of AUD100,000?
- A5. Yes, as specified in the Competitive Grant Guidelines and the SmartyGrants application form, a Proposed Inception Phase Budget and a separate Proposed Implementation Budget must be provided.

- Q6. Is the Fund Coordinator being nominated by DFAT separately, or would the lead applying organization of the consortia also be the Fund Coordinator?
- A6. A Fund Coordinator is being selected through a parallel tender process that is separate to this process.
- Q7. What is the difference between the Fund Coordinator and the Fund Steering Group?
- A7. The Fund Coordinator is contracted by DFAT and will manage the Fund (with oversight by DFAT's Water, Sanitation and Hygiene Section). The Fund Coordinator will be the primary point of contact for both CSOs and DFAT and will ensure a smooth flow of information between all the stakeholders in the Fund.
- A Fund Steering Group (FSG) will comprise representatives from DFAT (Co-Chair), the Fund Coordinator and participating CSOs. The FSG will enable implementing organisations to maintain oversight of the Fund, to collectively reflect on and consider advice to DFAT on policy and program issues (including with Posts) and to review information generated through reporting on Fund progress towards achievement of key outcomes. The FSG is expected to demonstrate the partnership approach to Fund management and is a means to manage risks.
- Q8. Can a university (as a part of the consortium) become the lead in research? Or is it necessary to include a separate research firm?
- A8. Roles and responsibilities among consortium partners are determined by the consortium.
- Q9. Is there a standard format or template for the Consortium Agreement?
- A9. No. Please also refer to Addendum 1, Q5.
- Q10. Are there any formatting requirements or word/page limits for the attachments under 'Section 6: Project Concept' in SmartyGrants? What are the expectations on the content? How will the attachments be assessed?
- A10. Please refer to Addendum 1, Q29 about word limits. Assessment of proposals will be done against the selection criteria in Annex 1 of the Competitive Grant Guidelines,
- Q11. Is the Applicant CSO allowed to work with government/public research institutes and government universities?
- A11. Please refer to Addendum 3, Q19.
- Q12. What is the closing time/deadline for submitting a proposal?
- A12. 6 October 2017 at 17:00 AEDT.
- Q13. Is an organisation based in North East India eligible to apply?
- A13. Yes, subject to meeting all eligibility requirements. Please also refer to Addendum 1, Q30 and Q31.
- Q14. In DFAT's view, how important is the involvement of the implementation country government in the work?
- A14. Every country context is different and applicants need to take that into account when preparing their proposals.

- Q15. What role can the host country private sector agencies play in this work? May we consider them a CSO? If not, can we include them as a consultant on the project?
- A15. A private sector agency would not be considered a CSO and their role in a proposed project is the prerogative of the applicant.
- Q16. Does DFAT prefer applications from a consortium of partners verses a lead partner with sub-grantees?
- A16. DFAT has no preference on this matter. Please also refer to Addendum 1, Q41.
- Q17. Can you put me in touch with a DFAT Post?
- A17. Please refer to <http://dfat.gov.au/about-us/our-locations/missions/Pages/our-embassies-and-consulates-overseas.aspx> to obtain contact details for the relevant Post. You may also wish to look at DFAT country level Aid Investment Plans (where available) here: <http://dfat.gov.au/about-us/publications/Pages/aid-investment-plans-aips.aspx>.
- Q18. Please clarify the following points regarding the Organisation's Declaration to be submitted as part of the application:
- a. In relation to "*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.*"
 - i. What is the definition of 'personnel'?
 - ii. What is the definition of 'good fame and character'?
 - b. In relation to "*I warrant that neither the Organisation nor any of its employees, agents or contractors have been convicted of an offence of, or relating to fraud or corruption, including bribery of a public official, nor are they subject to any proceedings which could lead to such a conviction.*"
 - i. What is the definition of 'fraud and corruption'?
 - ii. What is the definition of 'including bribery of a public official'?
 - iii. Is this intended to reflect circumstances as at the date of submission of proposal or will it also apply to the period of the Activity? If it is the latter, does this mean this declaration applies to individuals who we currently anticipate will be engaged in the Activity?
 - c. In relation to "*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.*"
 - i. What is the definition of 'personnel'?
 - ii. If 'Activity' means 'any proposal accepted by DFAT under the Competitive Grant Guidelines', is this declaration intended to apply to individuals who we currently anticipate will be engaged in the Activity?
- A18. The applicant should seek their own advice on these issues. Please see <http://dfat.gov.au/aid/topics/safeguards-risk-management/fraud-control/Pages/fraud-control.aspx> for guidance on fraud control.
- Q19. Are the rules and clauses mentioned in the ANCP manual mandatory for this Request for Proposals?
- A19. Not necessarily. The ANCP Manual includes general DFAT policy and guidance which would be relevant to all aid programs. However, it also includes ANCP specific arrangements which would not be relevant to the Water for Women Fund.

- Q20. In the ANCP manual, it is written that the CSOs need to contribute one dollar for every five dollars (or 20%). What is the match fund amount for this Request for Proposals?
- A20. There is no set match funding level in this Fund. Please also refer to Addendum 2, Q8.
- Q21. In the ANCP manual, it is mentioned that the match fund amount needs to be in cash and raised from the Australian Community. Is this applicable for this Request for Proposals? If yes, is there an exception for CSOs not based in Australia?
- A21. No.
- Q22. Will the match fund amount get included in the amount CSOs are asking from DFAT or will it be in addition to the asking amount?
- A22. The CSO Project Contribution is separate to the requested DFAT Project Contribution.
- Q23. Regarding 'Section 4: Project Details' of the SmartyGrants application form, what would DFAT like to see in the question "*how will you know if these outcomes have been achieved*" – a description of the indicators of success (i.e. the expected results) or a description of the monitoring and evaluation plan (i.e. how we will measure the results)?
- A23. Both, but note that the preceding question in the SmartyGrants form asks for an estimate of project benefits.
- Q24. The application form requires us to specifically mention the implementation strategy, M&E etc. for past experience in the WASH sector. Is it important to mention the organisations past experience only in the WASH sector? Can it be in some other sector but still promoting gender equality and social exclusion?
- A24. Relevant past experience can be from sectors other than WASH.
- Q25. Our proposed project would be divided into different work packages and budgeting done under various heads such as infrastructure, project management, social awareness programs, technical assistance, administration etc. Is there any limitation on any of the segments in terms of the overall budget allocation?
- A25. During the inception phase, CSOs that have been provided inception grants will be required to develop more detailed project designs including budgets. It is expected that project budgets will be developed according to a standard template.
- Q26. The applicant briefing presentation mentions a "5-year program with 3-year option". Does this mean that while the typical program is for 5 years, it can be shortened to a minimum of 3 years? Or can it be further shortened?
- A26. No, the Water for Women Fund is a five year program with an option for a three year extension. This is subject to a future decision and availability of funds.
- Q27. What is meant by "inception" proposals? Are inception and implementation just two different phases that need to be part of the proposal?
- A27. Please refer to Addendum 1, Q10 and Addendum 3, Q7.
- Q28. Does a proposal from a CSO necessarily need to have an inception and implementation phase or can it be for just one type of project?
- A28. All projects will have an inception and an implementation phase.
- Q29. Are there any word limits for the 'Risk' and 'Risk Mitigation' fields in the SmartyGrants form?

- A29. There is no word limit on these fields. Content should be relevant to the field or may not be considered.
- Q30. Can a non-accredited Lead Agency submit an application in three different South-Asian countries in partnership with local partners in those countries? The local partners are NGOs receiving DFAT money through ANCP. Would it be more favourable for the lead agency to submit one application and implement it in the three South-Asian countries receiving ANCP funding?
- A30. Each proposal is for a project in a particular country. Separate proposals would need to be submitted for projects in each country.
- Q31. Can one Applicant CSO submit two separate proposals? If so, is it also possible that the Applicant could be awarded for both proposals? Are projects including two countries (border regions) eligible?
- A31. Yes, multiple proposals can be submitted by one Applicant CSO. Yes, it is possible that the Applicant CSO could be successful in multiple proposals.
- Q32. Budget guidance notes in the Request for Proposals state that administration costs are capped at 10%, according to ANCP Manual Section 10.1. Our interpretation of ANCP Manual is that project-related admin costs (such as office rent for project offices) are eligible costs, and not included in the 10% administration costs definition (which would instead cover expenses such as non-project personnel and support costs for HQ which serve multiple support functions but are not tied to a specific project). Can you confirm or clarify our understanding of this definition. Does the administration cap of 10% apply to all consortium members? Does the administration cap of 10% also apply in the inception phase budget?
- A32. Your understanding of the definition of administration costs seems consistent with that in the ANCP Manual Section 10.1. The administration costs cap of 10% is calculated at the project level and applies in both the inception and implementation phases.
- Q33. Does DFAT have specific salary caps in place for personnel, in particular the Lead Manager?
- A33. No, however, note that a value for money assessment will be made for each eligible proposal.
- Q34. Should we be budgeting support for the Research Component or will this come out of the separate Research Component of the Fund?
- A34. Please see Addendum 1, Q19, Q22 and Q39. Detailed project budgets will be developed by selected CSOs during the inception phase. This will include costs associated with any collaboration on research as part of the Water for Women Research Component.
- Q35. As noted in the Guidelines, a Child Protection Policy is required from all partners of the Consortium. Is there required documentation pertaining to the policy during the proposal stage? Is there a process on how partners can comply with the policy since not all CSOs may have such a policy already in place?
- A35. Please refer to DFAT's Child Protection Policy: <http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx>.

SmartyGrants Amendments

Nil

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