



Australian Government
Department of Foreign Affairs and Trade

Water for Women Fund

Competitive Grant Guidelines

Request for Proposals

Date: 18 August 2017

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Section 1: Background and Introduction

1. Civil Society Organisations (CSOs) are invited to submit project proposals for the **CSO component** of the Water for Women Fund.
2. The Prime Minister of Australia announced the Water for Women Fund ('The Fund') in September 2016 at the High Level Panel on Water. The Fund is a flagship program in Australia's engagement in Water, Sanitation and Hygiene (WASH). The Fund draws on lessons from DFAT's Civil Society WASH Fund (the CS WASH Fund), due to end in June 2018.
3. The Fund contributes to the Department of Foreign Affairs and Trade's (DFAT) directions in Water for Development, contributing to three of six pillars in the Australian Aid Strategic Framework, and particularly the Health Strategy (2015-2020) and the Economic Infrastructure Strategy. The Fund is designed to draw on the strengths and comparative advantages of CSOs, recognised as key partners in the aid program.
4. The Fund will raise the bar in terms of gender and socially inclusive analysis, design and program delivery in WASH, and in doing so to lead practice globally. It will maintain attention on program quality towards the achievement of sustainable WASH outcomes.
5. CSOs will deliver gender and socially inclusive WASH projects, which are also inter-linked with other critical development issues such as water resources management (WRM), climate change adaptation (CCA), disaster risk reduction (DRR) and nutrition.
6. The Fund will operate in South Asia (Bangladesh, Bhutan, India, Nepal, Pakistan and Sri Lanka), South-East Asia (Cambodia, Indonesia, Lao PDR, Myanmar, Philippines, Timor-Leste and Vietnam) and Pacific (Fiji, Kiribati, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu).
7. The Fund has three (3) components:
 - a. CSO Component comprising grants to CSOs implementing gender and socially inclusive WASH projects.
 - b. Research Component comprising two grant types, both of which would use gender and inclusive processes: (i) broader, longer-term WASH research addressing key knowledge gaps in the Asia Pacific region; and (ii) research closely linked to CSO implementation in the Fund.
 - c. Knowledge and Learning (K&L) Component comprising both an internal focus (to facilitate uptake and learning by Fund CSOs), as well as an external focus, to share Fund-generated evidence, practice and knowledge to a wider audience of CSOs and national and international WASH stakeholders.
8. A Fund Coordinator, being selected through a separate and parallel tender process, will be responsible for ensuring all three components work collaboratively and share information.
9. These Guidelines explain the Competitive Grant Process to select grantees to implement component 7(a) above. The Investment Design Document (**Annex 3**) outlines the rationale and approach of the program.

Section 2: Operational objectives

1. The goal of the Water for Women Fund is 'Improved health, gender equality and well-being of Asian and Pacific communities through inclusive, sustainable WASH.'
2. Contributions will be made to the goal through four end-of-program outcomes:
 - a. Strengthened national and sub-national WASH sector systems with greater emphasis on gender, social inclusion, safely managed WASH and water security.
 - b. Increased equitable, universal access to, and use of, sustainable WASH services, particularly for marginalised communities and community members.
 - c. Strengthened gender equality and social inclusion in households, communities and institutions.
 - d. Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors.
3. Intermediate outcomes, which are expected to contribute to the above Fund outcomes are:
 - a. Increased capacity and agency of governments, private sector, community-based organisations and communities, in planning, investing and delivering sustainable, inclusive WASH services.
 - b. Greater integration of gender and socially inclusive approaches by governments, private sector, community-based organisations and communities.
 - c. Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international WASH sector actors.

Section 3: Eligibility criteria

3.1 Organisation eligibility

1. 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.

This includes Australian not-for-profit organisations:

- a. Accredited by DFAT for the Australian NGO Cooperation Program (ANCP); and/or
 - b. Signatory to the ACFID Code of Conduct.
2. DFAT also invites proposals from non-Australian civil society and not-for-profit organisations engaged in the sector (including international and partner country organisations).

Note: If not accredited by DFAT, shortlisted organisations may be contacted and given seven (7) days to provide other documents to help DFAT and the Fund Coordinator 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.
3. DFAT also invites proposals involving consortia. The membership of consortia will not be limited to DFAT accredited civil society organisations (CSOs) and may include universities, private enterprise, regional organisations, inter-governmental organisations and other international organisations. Consortium proposals must be accompanied by a Consortium Agreement signed by each consortium partner. The Agreement should include a short description of each partner and details of its corporate commitment and involvement in the proposal.
 4. The Applicant CSO will be accountable for all funds. The Grant Agreement shall be signed with the Applicant CSO, and the Applicant CSO is responsible to DFAT for the performance of all partners included in a proposal under the Grant Agreement.
 5. Applicant CSOs are eligible to submit multiple proposals – one for each project in a specific country. Each project may be implemented across a number of sites in the country. CSOs submitting multiple proposals acknowledge that they are making commitments to each proposal to undertake all of the activities detailed in a given proposal – irrespective of any decision on any other proposal.
 6. In proposals involving consortia, DFAT reserves the right to reassess any proposal if, following submission, the membership of a successful consortium proposal changes, including withdrawing consortium member(s).
 7. Organisations submitting proposals must not have any reason preventing them from operating in the country/s of their proposed project/s.
 8. All organisations seeking DFAT funding must have regard to and comply with, relevant and applicable laws, guidelines, regulations and policies, including those in Australia and in the country where projects are implemented. A list, as amended from time to time, of Australian laws and guidelines that may apply to the delivery of developmental aid to foreign countries can be found on the DFAT website: <http://www.dfat.gov.au>. This list is not exhaustive and is provided for information only.
 9. Organisations should note that individuals with conflicting commitments and current and Former DFAT Employees must not be included in the proposal or as individuals who may be engaged by the applicant if selected through the assessment process described in these Guidelines. DFAT may reject any proposal which does not disclose the fact that a proposed team member has an existing and continuing commitment to another DFAT project or activity.

10. Proposals compiled with the assistance of current DFAT employees or former DFAT employees will be excluded from consideration.
11. '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 to which this grant program relates.

3.2 Proposal eligibility

1. In order to be accepted a proposal must be completed in accordance with the Invitation to Submit a Project Proposal (**Annex 1**) and the information in these Guidelines.
2. Proposed projects must be consistent with the Australian aid program's strategic goals and development objectives, as outlined in the Australian Aid Strategic Framework. CSOs should consider the Water for Women Fund Investment Design Document (**Annex 3**) when developing proposals.
3. The countries within the scope of the Water for Women Fund are:
 - South Asia: Bangladesh, Bhutan, India, Nepal, Pakistan and Sri Lanka
 - South-East Asia: Cambodia, Indonesia, Lao PDR, Myanmar, Philippines, Timor-Leste and Vietnam
 - Pacific: Fiji, Kiribati, Papua New Guinea, Samoa, Solomon Island, Tonga, Tuvalu and Vanuatu
4. CSOs proposing projects in countries where DFAT has an active WASH program will be encouraged to design activities that align and/or complement the DFAT WASH program(s). CSOs are encouraged to discuss their proposals with DFAT Posts as early as possible and DFAT will seek to create opportunities for successful applicant CSOs to discuss points of complementarity with relevant country and program areas during the Inception Phase.
5. Countries with an active DFAT WASH program as of April 2017 are as follows: Bangladesh, Nepal and Sri Lanka in South Asia; Indonesia, Timor-Leste and Vietnam in South-East Asia; and Kiribati, Papua New Guinea, Solomon Islands, Tonga and Vanuatu in the Pacific. Proposals that include countries where DFAT has an active WASH program will not be given priority over countries that do not; all countries within the scope of the program have an equal weighting.
6. In countries without an active WASH program, CSOs are encouraged to, at the very least, be familiar with Australian aid investment priorities in those countries. The CSO should formulate project proposals which reflect the broad direction of Australian aid and where possible build linkages with sectoral programs such as health and gender equality where there is an appetite for such engagement by Posts.
7. Grants for each proposal (inclusive of funds sought for inception and implementation) are expected to range from a minimum of AUD\$2.5 million to a maximum of AUD\$10 million across five years. Proposals below or above this range will be considered in exceptional circumstances, explained clearly in the respective proposal.

3.2.1 Ineligible costs

8. Support will NOT be provided for applications that seek funding for:
 - a. Recurrent costs, unless there is a convincing plan to ensure the costs will be able to be taken over at the national level within the life of the project.
 - b. Retrospective activities.
 - c. Administration costs that exceed 10 per cent of total project costs (these are charges associated with the operations of a CSO and are listed in Section 10.1 of the ANCP Manual: <http://dfat.gov.au/about-us/publications/Pages/australian-ngo-cooperation-program-manual.aspx>). Requests for an increase in this level will be considered on a case by case basis with possible justification including, but not limited to expansion into a new geographic area or working in a less secure environment.
 - d. Construction of CSO infrastructure to be owned and used by the CSO e.g. office space, sheds etc.

Section 4: Application process and indicative timeline

4.1 Indicative timeline

1. The indicative timeline for this competitive grant process is summarised in **Table 1** below.

Table 1

Event	Date / Time
Request for proposals	18 August 2017
Deadline for registration to attend Applicant Briefing	COB 23 August 2017
Applicant Briefing – Melbourne, Australia	25 August 2017
Deadline for applicant questions	22 September 2017 17:00 AEST
Deadline for DFAT response to questions	29 September 2017
Closing Time (Proposal submission deadline)	6 October 2017 17:00 AEDT

4.2 Applicant briefing

1. DFAT will hold one applicant briefing for interested organisations to ask questions on the Water for Women Fund design, submission process and implementation:

Time/Date: 2.00 pm on 25 August 2017

Location: DFAT Victoria State Office

Level 14, 55 Collins Street, Melbourne

2. Attendance at the applicant briefing is optional and is not a Condition for Participation in the Competitive Grant Process.
3. Organisations should indicate if they intend to attend the briefing by providing details of the name, company and position of each person attending by email to waterforwomen@dfat.gov.au by the deadline provided in **Table 1**.
4. Copies of any presentations and responses to questions provided at the briefing will be published on the DFAT Business Notifications website following the briefing. Individual briefings will not be provided.
5. Any information provided at the briefing will be provided subject to the terms and conditions of this Request for Proposals. Applicants must not rely on a statement made at the briefing as amending or adding to this Request for Proposals unless confirmed in writing via an Addendum.
6. DFAT reserves the right to cancel the briefing if fewer than five (5) organisations register to attend. Notification of cancellation will be published on the DFAT Business Opportunities website by 2 pm (AEST) on 24 August 2017.

4.3 Applicant questions and DFAT responses

1. All enquiries concerning this competitive grant process must be submitted via email to waterforwomen@dfat.gov.au as soon as possible and no later than the deadline provided in **Table 1**.
2. DFAT will respond to all enquiries no later than the date provided in **Table 1**.
3. DFAT will publish answers to enquiries on the DFAT Business Opportunities website (without identifying the organisation that submitted the enquiry).
4. DFAT recommends that, up until the Closing Time, applicants check the website regularly for updates.

4.4 Proposal format

1. Proposals must be submitted via SmartyGrants and include all information required in accordance with **Annex 1** and the [SmartyGrants form](#).
2. Each proposal must be lodged as a separate application via SmartyGrants.
3. Assessment will be a two-phase process. In Phase 1 of the process, organisations are invited to submit one, or multiple proposals. At this initial stage, applicants are not expected to prepare a detailed Project Design Document. This will be done in Phase 2 after successful grantees are invited to begin the Inception Phase.

4.5 Deadline for proposal submission

1. The deadline for proposal submission is provided in **Table 1** (Closing Time). Proposals submitted after this time will not be evaluated.
2. The judgement of DFAT as to the time a proposal was submitted will be final.

4.6 Conformance check

1. Proposals received by the deadline will first be checked to be conforming bids to ensure the organisation and proposed project meet the eligibility criteria required and detailed in Section 3. DFAT may seek clarification of non-conforming proposals. At DFAT's sole discretion, those proposals deemed non-conforming will be excluded, and those applicants will be advised by DFAT.

4.7 Assessment process

1. A panel will assess conforming proposals against the Selection Criteria given in **Annex 1**, value for money principles and any other factors, which at DFAT's discretion may impact upon the suitability of any Proposal or Applicant CSO.
2. Final determination of allocations to different regions and countries will be made based on the quality of proposals received, consideration of geographic distribution and DFAT's interest to strike a balanced portfolio of projects.
3. Applicants may be invited to interview, with interviews being held either in person or by telephone, at DFAT's discretion. DFAT may request that named personnel in the applicant's proposal attend the interview.
4. Applicants will be notified no later than one (1) week before the panel interviews take place.
5. Applicant representatives and named personnel will be required to answer any generic and specific questions asked by the panel at interview.
6. The panel is conducted on a confidential basis, and panel members must not discuss matters relating to the assessment of any proposal with any external party. Applicants must not seek contact with any members of the panel, and any such contact will be considered a breach of confidentiality and may result in DFAT rejecting the proposal of the applicant concerned.
7. In making its assessment of a proposal, the panel may have regard to other factors relevant to the suitability, capacity and qualifications of an applicant organisation including but not limited to:
 - a. checking with nominated referees and with other persons or organisations as DFAT chooses, the accuracy of information and quality of previous work performed including the resourcing of previous work; and
 - b. information obtained from any legitimate, verifiable source, which is relevant to the capacity of the applicants. Such information may be the result of inquiries made by DFAT, and will be raised with the applicant at interview if needed.
8. Previous performance information may only be provided to panel members where it is considered relevant. Panel members may not introduce irrelevant issues or hearsay into the assessment or base their assessment on information that is hearsay and cannot be substantiated.
9. Panel members may adjust technical scores agreed during the assessment process as a consequence of any interview and consideration of past performance. This will be done at the panel's sole discretion.

10. Following evaluation and selection, the Fund Coordinator will enter into short-term grant agreements with successful CSOs for the Inception Phase to provide funding and technical support to the CSOs to develop detailed Project Design Documents.
11. The Inception Phase is expected to be up to six (6) months from the start of the CSO inception contract. As part of the Inception Phase, CSOs will attend a Design and Partnership Workshop, to collaborate with the Fund Coordinator on the design process.
12. At the completion of the Inception Phase and approval of Project Design Documents, the Fund Coordinator will negotiate, enter into and administer partnership-based grant agreements with CSOs, enabling CSOs to undertake projects to agreed standards.

4.8 Debriefing of applicants

1. Applicants are entitled to request a written debriefing on the results of the assessment of their proposals from the Fund Coordinator once applicants have been formally notified of the grant process outcome. This debriefing will provide information on scores achieved against individual criterion and comments from the panel.
2. DFAT and/or the Fund Coordinator will not enter into discussion or communications on the content of the debrief once it has been issued.

Section 5: Safeguards and cross-cutting issues

1. Proposals must include the applicant's approach to:
 - a. 'do no harm' and protecting women and girls;
 - b. including people with disabilities;
 - c. child protection; and
 - d. minimising risk.
2. All organisations (including all partners in a consortium) must comply with [DFAT's Child Protection Policy](#).

Section 6: Contractual, reporting and acquittal requirements

1. The successful applicants (including leads of consortia) will initially be engaged via an Inception Phase Grant Agreement with the Fund Coordinator. A sample grant agreement is provided at **Annex 2** for information only. The final agreement will be developed by the Fund Coordinator.

Annex 1: Invitation to Submit a Project Proposal

Instructions for Applicants:

DFAT seeks proposals from applicants eligible to apply for grant funding under the Water for Women Fund.

Please read the Water for Women Fund Competitive Grant Guidelines carefully before submitting a proposal to ensure you are eligible to apply for funding.

If you choose to submit a proposal, it **must** be submitted, along with any accompanying documents in accordance with the requirements set out in the Water for Women Fund Competitive Grant Guidelines, the SmartyGrants form and the requirements set out in this invitation.

Section 1: Proposal Particulars

DFAT seeks proposals from CSOs for the Water for Women Fund. The Fund is a partnership between DFAT and selected CSOs focused on gender and socially inclusive WASH outcomes in Asian and Pacific countries. A Fund Coordinator, to be selected through a separate and parallel tender process, will support the work of CSOs and DFAT to deliver a high quality program.

For each proposal, CSOs are expected to submit a separate application through the [SmartyGrants form](#). Some information will be repeated for CSOs that submit multiple proposals, but this will enable each proposal to be assessed on its merits and compared with other proposals relating to the same country. CSOs submitting multiple proposals acknowledge that they are making commitments to each proposal to undertake all of the activities detailed in a given proposal – irrespective of any decision on any other proposal.

In preparing a proposal, CSOs should draw on the following DFAT documents:

- a. Water for Women Fund Investment Design Document
<http://dfat.gov.au/about-us/business-opportunities/tenders/Pages/investment-design-document-water-for-women-fund.aspx>
- b. Health for Development Strategy 2015-2020
<http://dfat.gov.au/about-us/publications/Documents/health-for-development-strategy-2015-2020.PDF>
- c. Gender Equality and Women's Empowerment Strategy
<http://dfat.gov.au/international-relations/themes/gender-equality/pages/gender-equality.aspx>
- d. Effective Governance Strategy
<http://dfat.gov.au/about-us/publications/Pages/effective-governance-strategy-for-australias-aid-investments.aspx>

Section 1.1: Introduction and Background

Overview of the Department of Foreign Affairs and Trade

The purpose of the Australian Aid Program is to ‘promote prosperity, reduce poverty and enhance stability with a strengthened focus on our region, the Indo-Pacific’. DFAT is the Australian Government agency responsible for planning, coordinating and managing Australia’s Aid Program. DFAT’s head office is located in Canberra and has representatives in Australian diplomatic missions (Posts) overseas. Further background information on DFAT can be obtained from www.dfat.gov.au.

Background

The Water for Women Fund has a budget of \$100 million with an additional \$10.6 million allocated for research, and is expected to run for five years until December 2022. It will fund selected CSOs and research organisations to design and implement WASH programs in South Asia, South-East Asia and the Pacific. The Fund has an explicit intent to ensure that WASH projects are designed and implemented in gender and socially inclusive ways.

Following on from the DFAT Civil Society WASH Fund, due to end in June 2018, the new fund forms a part of a suite of global and cross-regional programs in WASH managed by the Water, Sanitation and Hygiene Section (WSH) in DFAT. The Fund contributes to DFAT’s directions in Water for Development, contributing to three of six pillars in the Australian Aid Strategic Framework,¹ particularly the Health Strategy (2015-2020)² and the Economic Infrastructure Strategy.³ The Fund is designed to draw on the strengths and comparative advantages of CSOs, recognised as key partners in the aid program.⁴

The Fund aims to raise the bar in terms of gender and socially inclusive analysis, design and program delivery in WASH, and in doing so to lead practice globally. It seeks to maintain attention on program quality towards the achievement of sustainable WASH outcomes relevant to each context.

CSOs will be selected on the basis of a demonstrated track record in high quality WASH programming including with respect to gender and social inclusion. Once selected, CSOs will be encouraged to strive for excellence in all aspects of gender and socially inclusive WASH. In this Fund, emphasis is given to ensuring projects are solidly based on contextual analysis, to develop relevant theories of change which reflect the political and cultural realities of how change happens in each context.

The Fund will provide funding and technical support for CSOs to develop detailed project designs, which include realistic and feasible strategies to bring about change (theories of action). Project implementation should reflect contemporary understanding about how change actually happens and the role of donor-funded activities to contribute to change. For example, CSOs will be expected to use reflection and feedback mechanisms, to focus on quality partnerships and to adapt to changes in contexts and learning over the life of the project. During implementation and particularly through monitoring and evaluation processes, CSOs will be expected

¹ <http://dfat.gov.au/about-us/department/Pages/strategic-framework-2015-2019.aspx>

² <http://dfat.gov.au/about-us/publications/Pages/health-for-development-strategy-2015-2020.aspx>

³ <http://dfat.gov.au/about-us/publications/Pages/strategy-for-australias-investments-in-economic-infrastructure.aspx>

⁴ <http://dfat.gov.au/aid/who-we-work-with/ngos/Pages/non-government-organisations.aspx>

to support, document and share innovative approaches with other stakeholders in the Fund – called ‘knowledge and learning’ (K&L) in this Fund.

The Fund builds on the comparative advantages of CSOs in community engagement and behaviour change, particularly in supporting people who are in vulnerable circumstances and who may be excluded from decision making, such as women, people with disabilities, children, communities in remote rural areas and the urban poor. CSOs in the WASH sector have also demonstrated experience in building local government capacity to deliver or oversee WASH services, engagement with the private sector, innovation and demonstration of new approaches, and informing policy with grounded local-level experience. The Fund will draw on CSO experience and potentially enhance CSOs’ gender and inclusive practice.

The Fund takes the form of a competitive funding round overseen by the WSH Section in Canberra. Proposals will be invited from both Australian and non-Australian civil society and not-for-profit organisations. Proposals can include consortia and partnerships with suitably experienced international and national CSOs. Proposals will be assessed on both organisational capacity (both international and in-country) and the quality of project concepts. The Evaluation Committee (the panel) will also consider the need to achieve a balance of funding across the regions, and decisions about the spread of funding could over-rule assessments and ranking.

Successful applicants will enter a Fund-supported Inception Phase during which time they will further define their Project Concept’s theory of action and produce a detailed Project Design Document (PDD) for each project, to a high standard. The PDD will be expected to detail realistic strategies to initiate implementation, and for monitoring and evaluation over a five-year period. Each PDD will refine and detail expected outcomes (based on those included in the initial proposal) and specific information about how the project will ensure gender and socially inclusive approaches will be used throughout the project cycle. PDDs will also need to address how WASH-related issues such as environment, DRR, CCA, WRM and nutrition are integrated.

CSOs will be expected to demonstrate strong management systems and structures, and particularly proven experience in effective knowledge management systems. PDDs should also detail how the benefits of projects will likely be sustained and how the end of the project will be managed (i.e. exit strategy).

PDDs will include details of a first-year implementation plan, along with a strategy to ensure subsequent annual plans are participatory and take account of lessons learned during implementation, changes in the operating environment and broader learning about gender and social inclusion and WASH. An example format for PDDs (including the level of expected M&E plans) is provided at **Annex 6** of the Water for Women Design Document. This example is provided for information only and the Fund Coordinator will determine final requirements for the PDD.

Once approved, PDDs will be used to form the scope of services for a Grant Agreement with the Fund Coordinator.

In addition to delivering WASH activities, each CSO partner will be expected to contribute to the evidence base on effective practice in WASH. Their contributions will be coordinated by a K&L Component, which will have three elements (see **Annex 8** of the Water for Women Design Document for full details):

- A K&L Manager (KALM) located in the Fund Coordinator team.

- Innovation and Impact grants – Small grants of up to AUD100,000 per year for up to two years will be made available to support the piloting of innovations by individual CSOs (consortiums are also eligible), including the scaling up of successful interventions. The Fund Coordinator will develop details during implementation.
- A series of regional events, webinars and other relevant electronic forums (e.g. e-discussions) and coordinated contributions to global and regional conferences to be arranged by the Fund Coordinator.

A \$10.6 million Research Component will also run alongside CSO project implementation. This component will comprise competitive grants to research organisations for WASH sector research, including both research to address key regional knowledge gaps, as well as research conducted in partnership with one or more CSOs.

Management of the Fund will be undertaken by a team of management specialists, known as the Fund Coordinator, and overseen by DFAT's WSH Section. The Fund Coordinator will include personnel responsible for Fund management, quality assurance processes, K&L processes and events, gender and social inclusion (GESI) and WASH technical support, research grant administration and M&E specialist services to DFAT and CSOs. The Fund Coordinator will be the primary point of contact for both CSOs and DFAT. The Fund Coordinator will also 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.

An Independent Review Group (IRG) will review Fund-wide progress, including assessment of the Fund management arrangements and contributions to Fund-level outcomes. The IRG will comprise evaluation specialists. The IRG will review information generated during each year of Project and Fund implementation and may undertake visits to selected Projects. The IRG may focus on particular issues or questions each year, agreed by the FSG, recognising that they could not feasibly address all aspects of the Fund on each occasion. This level of independent review is less than that provided during the CS WASH Fund, but is deemed sufficient given the M&E role provided by the Fund Coordinator and increased emphasis on CSO responsibility for sound M&E.

Summary of Water for Women Fund Structure

Figure 1 below summarises the various components of the Water for Women Fund as described above, including the key elements in each component, and illustrates how they fit together.

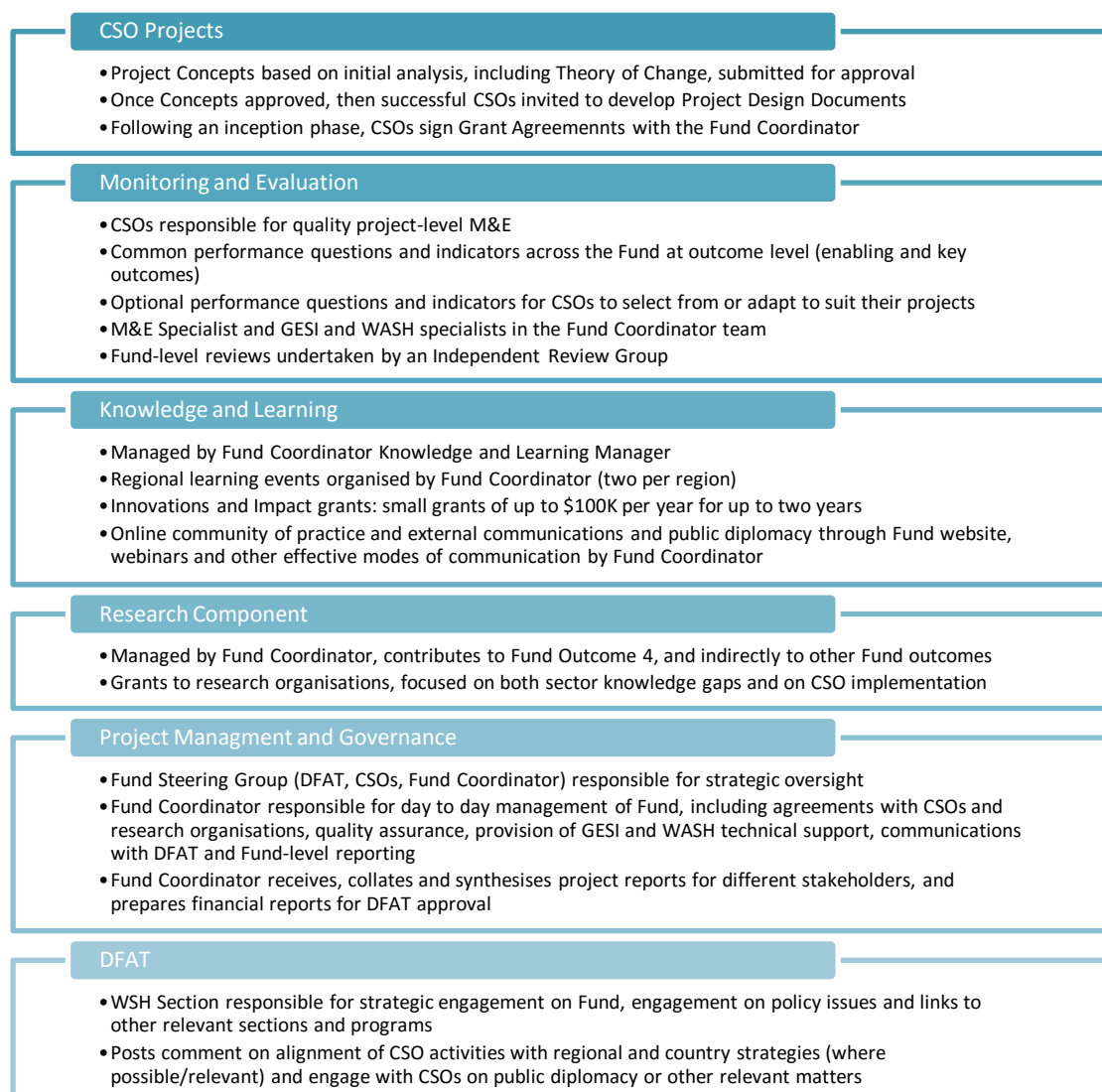


Figure 1: Components of the Water for Women Fund

Section 1.2: Objectives of the Fund

The theory of change for Water for Women is shown in **Figure 2**.

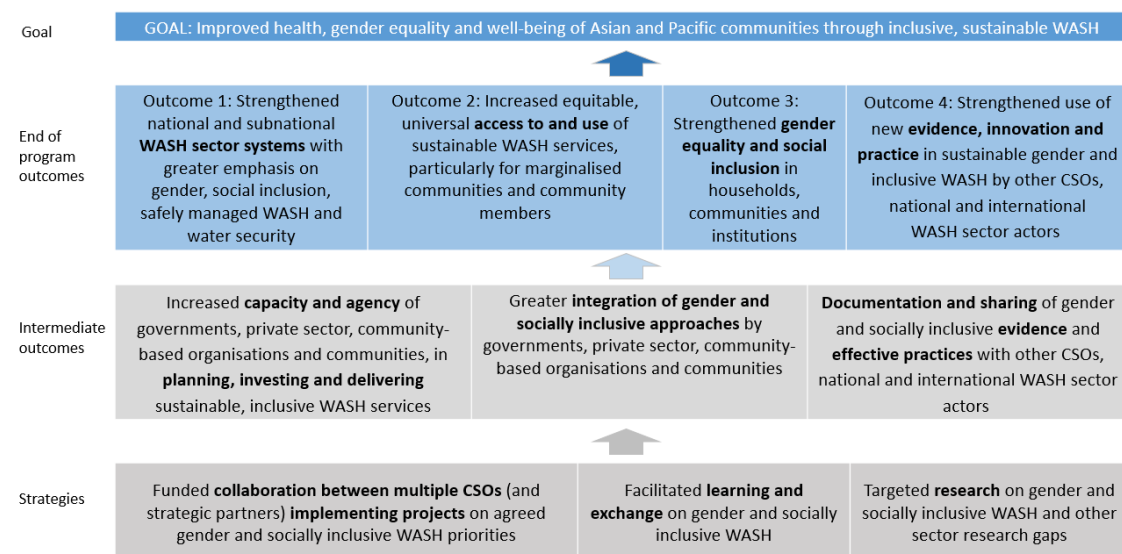


Figure 2: Theory of change for Water for Women Fund

Water for Women is expected to contribute ultimately to the goal of: ‘**Improved health, gender equality and well-being of Asian and Pacific communities through inclusive, sustainable WASH**’. The Fund will use three **strategies**: funded collaboration between multiple CSOs (and strategic partners) implementing gender and socially inclusive projects on agreed priorities; facilitated learning and exchange; and targeted research.⁵ These are expected to contribute to the intermediate and end-of-program outcomes described below, alongside many other influences and efforts by governments, communities and development programs.

The three strategies are expected to contribute to three **intermediate outcomes**. In their respective country contexts and based on sound context and gender and inclusion analysis, CSOs will work with change agents who may be governments, private sector, community-based organisations and communities, and include both women and men, and marginalised people, particularly but not exclusively, people with disabilities. Importantly, this Fund provides opportunities for CSOs to work with organisations which may not have traditionally operated in the WASH sector, such as women’s organisations or those representing people with disabilities (disabled people’s organisations – DPOs) as well as those with different skill-sets, such as those relevant to gender and social inclusion. These change agents are variously responsible for the range of systems, which initiate, fund, manage and maintain WASH services. Through CSO project engagement, the **capacity and agency** of these change agents will be increased in terms of their ability to support sustainable, inclusive WASH (first intermediate outcome). This includes their ability to play respective roles in planning, investing, managing, delivering and monitoring WASH services and hygiene behaviour change. To ensure change agents build skills in inclusive practice, the Fund will place the **integration of gender and social inclusion approaches** at the core of all WASH programming, using a combination of mainstreaming and targeted equity strategies, and ensuring the right skill sets are made available (second intermediate outcome) informed by sound contextual gender

⁵ The complementary research component contributes to the agenda of Water for Women, and also have a wider mandate in terms of contributing to the global evidence base for WASH on issues and knowledge gaps beyond that agenda.

and social inclusion analysis of key barriers and opportunities. Lastly, since the Fund intends to innovate and lead gender and socially inclusive sector practice, CSOs will **capture and document their demonstrated approaches and related evidence**, and use this to **actively engage** with other CSOs, and wider national and international sector actors (third intermediate outcome). The facilitated learning and exchange component (with both internally focused and externally focused elements) will also directly support this outcome, as will the contribution from the gender and socially inclusive research component.

The three intermediate outcomes are expected to contribute to four '**end-of-program outcomes**', in combination, and alongside other contributions and influences.

These include firstly, **strengthened national and sub-national WASH sector systems** that have greater emphasis on gender, inclusion, safely managed WASH and water security (**Outcome 1**). The language of this outcome is consistent with global commitments and acknowledges that the influence of Water for Women is expected to contribute to changes at the systems level. The theory of change suggests that strengthened systems are likely to be achieved through the improved performance of change agents and wider changes to sector dynamics that they are able to influence, including in the domain of gender and inclusion within WASH. 'Safely managed' WASH reflects the increased ambition of the Sustainable Development Goals (SDG), and is expected to be reflected in the ways in which CSOs work with WASH actors and systems, as is attention to water security.

In addition, and equally important, as a result of the actions of change agents, the theory suggests that these change agents will contribute to an **increase in equitable, universal access to and use of sustainable WASH services** (**Outcome 2**), which includes a focus on water, sanitation as well as hygiene behaviour change. The actions associated with this process are expected to meet the specific practical needs of different groups.

As a result of mainstreaming and targeting gender and social inclusion within WASH, the theory suggests there will be **wider changes in gender equality and social inclusion** that extend beyond the domain of WASH and relate to other aspects of people's lives, which represent the ways in which WASH has been able to act as an entry point to address broader societal inequalities. Hence, the inclusion of an outcome focused on **strengthened gender equality and social inclusion** in households, communities and institutions (**Outcome 3**). For example, including women and people with disabilities in WASH processes can lead to greater experience, confidence and skills in other forms of community leadership and mobilisation, which are key to all types of social and economic development. Whilst deliberate effort to facilitate broader gender and inclusion outcomes is expected, it is recognised that making predictions about the expected 'flow-on' effects of gender and inclusive WASH programming on broader gender and inclusion outcomes will be difficult. Hence the need for a well-conceived monitoring approach for these outcomes, and an acceptance that greater, lesser or different outcomes may eventuate compared with those predicted. Monitoring against this outcome is also important to safeguard against potential adverse impacts of the Fund and ensure adherence to a 'do no harm' approach.

Finally, the Fund seeks to influence wider WASH policy and practice through strengthened use of new **evidence, innovation and practice** in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors (**Outcome 4**). 'Uptake and use' are seen as critical steps to influence either

practice or policy, and are chosen as outcome terminology based on impact frameworks for production of knowledge and evidence.⁶ The latter outcome is expected to result in increased knowledge leadership on the intersection of SDGs 5, 6 and 10, by DFAT and partners, both regionally and globally.

Of the four outcomes, it is expected that CSO projects would more directly contribute to Outcomes 1, 2 and 3, in terms of overall balance, while the collaboration between CSOs and documentation of evidence and good practice (though knowledge and learning, M&E and research activities) will more likely contribute to Outcome 4.

Expected **developmental approaches** will include (see **Annex 3** – Investment Design Document, Section 6.2):

- Incorporation of evidence-based, contemporary understanding of gender and socially inclusive approaches in WASH at all levels.
- Application ‘thinking and working politically’ and ‘understanding complexity, importance of social and organisational cultural values, political and institutional environment, local leadership including recognition of considerations for fragile or conflict affected contexts.
- Emphasis on knowledge and learning, and integration with M&E, sharing and use of new and existing research evidence.

Periodic action-reflection processes by CSOs are encouraged to ensure effectiveness, and appreciation of the skills and capacities required for implementation of evidence-based, adaptive programming approaches. In addition, approaches adopted by CSOs will take account of key emerging **WASH sector trends** (see **Annex 3** – Investment Design Document, Section 3 and Section 6.2) such as:

- Commitment to coordinated efforts to strengthen national and sub-national systems, including both the critical role of national and sub-national governments as well as the related roles of private sector and civil society
- Increased ambitions of the SDGs and targets of safely managed water and safely managed sanitation and extension to include emphasis on universal access including access in schools, health centres, institutions, workplaces, public places etc. It is expected that CSO approaches to the SDGs will support and align with approaches adopted in the relevant country context, and will recognise the need for progressive advancement towards safe and safely managed WASH.
- Recognition of water and sanitation as human rights, and the pathways this provides for additional leverage.
- Functionality and sustainability of WASH systems and behaviours to ensure the continuation of increased access and use of services and their benefits.
- Emerging sub-sector priorities and strategies: For instance, increased priority to urban sanitation and faecal sludge management in both urban and rural areas, continued efforts to engage with private sector or social enterprise, increasing emphasis on menstrual hygiene management etc.
- Recognition of interlinkages and potential for synergy between WASH and other areas, including water resources management (WRM), disaster risk reduction (DRR), climate change adaptation (CCA) and nutrition, and the

⁶ See Muirhead 2017 Outcomes and impacts of ADRAS grants (forthcoming)

importance of taking into account climate change and relevant adaptive measures.

- Increasing recognition of how political economy dynamics affect WASH systems and outcomes, and appropriate involvement of local private sector actors.
- Particular emphasis on sanitation given the poor levels of access in all relevant regions.
- Importance of embedding a hygiene focus in all WASH programming, given its importance and cost-effectiveness, and recognising the need for innovation in behaviour change communication.
- Recognition that WASH in Schools, as possible, should include all three elements of access to water, adequate sanitation facilities and handwashing/hygiene including menstrual hygiene management.
- Emphasis on vulnerable populations in urban (particularly informal settlements) and rural areas.

Finally, **approaches to gender and inclusion** in the Fund (see **Annex 3** – Investment Design Document, Section 6.2) are expected to include the following:

- Use of quality gender and socially inclusive analysis as the basis for identification of opportunities and barriers for development and strategies that address these.
- Mainstreaming of gender and social inclusion in every part of the project cycle, and use targeted equity strategies where warranted, and take into account intersectionality.
- Taking a ‘do no harm’ approach, and ensuring wider gender and inclusion outcomes (beyond WASH) are monitored as well as changes related to gender and inclusion in WASH.
- Engagement with whole communities in inclusive ways, facilitating recognition that inclusion is everyone’s responsibility.
- At institutional, governance, strategic or advocacy levels, or in engagement with private sector, identify ways to promote positive change and collaboratively develop strategies and shared interest to address limits and barriers faced with other actors.
- Considering ways to meet both practical needs and strategic interests of women and men and all other groups in WASH, ensuring approaches to address disadvantage do not create resentment.
- Consider potential to catalyse transformative outcomes in relation to any of the following areas (or other areas, as these are not intended to be exhaustive and choice of CSO focus should be determined by local context and likely points of leverage/influence): women’s leadership, participation and voice in decision making; women’s economic empowerment; safety and violence against women; changes in household gender relations; workload distribution; or other changes at individual, community or structural level. For inclusion, changes could relate to increased empowerment, voice or agency in other domains of life beyond WASH.
- Engage with other organisations and skill-sets in gender and inclusion to complement core skills and competencies.

Section 2: Selection Criteria

The purpose of this application process is for DFAT to identify and select CSOs that demonstrate strong claims against specific requirements set out within this Request for Proposals. This is defined as strong capacity to contribute to the strategic objectives of Australia's global WASH program and the Theory of Change and outcomes of the Water for Women Fund.

Organisations will be assessed against the criteria in **Table 2** below. **Applicants must respond to these selection criteria through their completion of the [SmartyGrants form](#).**

Table 2: Selection Criteria

SELECTION CRITERIA	WEIGHTING
Mandatory requirements	
<ol style="list-style-type: none"> 1. Organisation Eligibility, Proposal Eligibility, and Format and Content Requirements 2. Proposal closely aligns with the Fund Theory of Change 3. Demonstrated capacity and extensive experience in implementing evidence-based, effective and sustainable WASH programming approaches including gender and socially inclusive approaches 	Pass / Fail
Lead Organisation / Consortia	
<p>Criterion 1: Demonstrated ability to implement effective WASH programs, including emphasis on gender and social inclusion</p> <p><i>Applicants must demonstrate:</i></p> <ul style="list-style-type: none"> – Evidence of the use of effective, sustainable WASH programming approaches in high quality projects based on understanding of current WASH sector issues and challenges, including gender and socially inclusive approaches – Active contributions to the global WASH evidence base, particularly with respect to innovative practice – Well-developed monitoring and evaluation (M&E) systems and approaches that support inclusion, participation, accountability, learning and adaption – Quality planning, financial, human resources (HR), risk management and information technology (IT) systems – Commitment to gender and inclusion in internal policies and practices – Commitment to and strategies for, effective and respectful engagement between the CSO head office and relevant in-country offices – In cases of a proposed consortium, Applicant should outline the added value of the consortium arrangement <p>Required supporting documentation:</p> <ul style="list-style-type: none"> – Consortium Agreement, signed by the Heads of each 	25%

Consortium Agency. This Agreement should include details of the Consortium members' corporate commitment and involvement in the Submission.	
Criterion 2: Demonstrated expertise of the management team <i>Applicants must:</i> <ul style="list-style-type: none"> – Demonstrate expertise, experience and performance of the Lead Manager responsible for proposed projects⁷ – Provide a description of the role and responsibilities of the Lead Manager – Explain how they will resource the management team with relevant expertise such as in gender equality/social inclusion, WASH, knowledge and learning and M&E Required supporting documentation: <ul style="list-style-type: none"> – Curriculum vita of the Lead Manager of up to two (2) pages, which must be signed and dated; and – Up to two (2) written references for the Lead Manager of up to two (2) pages each, which must be signed and dated. 	10%
Value of the overall CSO proposal to Water for Women Fund <ul style="list-style-type: none"> – Where relevant (in cases of multiple proposals from the CSO), Applicant should outline the added value of multiple projects such as management arrangements, collaboration or learning to achieve Fund outcomes. 	unweighted⁸
Project Concept	
Criterion 3: Quality analysis of the WASH context, needs and development priorities, including gender and social inclusion <i>Applicants must provide a project concept that:</i> <ul style="list-style-type: none"> – Demonstrates a good understanding of the issues affecting the WASH and relevant sectors at the national and local areas of the project and provides a convincing contextual analysis, including limitations and opportunities towards sustainability and inclusion – Uses global and country evidence for WASH, including gender and socially inclusive aspects – Has a good analysis of how change actually occurs in terms of gender equality and social inclusion in the WASH sector in order to produce a reasonable theory of change – Considers related issues such as climate change adaptation, water resource management, disaster risk reduction, health and nutrition 	25%

⁷ The Lead Manager is the person who has day-to-day responsibility for the project and would be the main point of contact with DFAT and the Fund Coordinator.

⁸ Considered in the value for money assessment only for those CSOs with multiple proposals.

<p>Criterion 4: Consistency of proposed project's theory of change and strategies with Fund's outcomes and key principles</p> <p><i>Applicants must provide a project concept that:</i></p> <ul style="list-style-type: none"> – Contributes to Fund outcomes – Draws upon gender equality and socially inclusive approaches – Provides a clear connection between the contextual analysis and the proposed strategies – Is realistic, articulates key assumptions, has achievable deliverables and outcomes and a value for money budget – Demonstrates a balance between existing proven approaches of 'what works' with innovative ideas – Aligns with and/or complements DFAT regional and country program priorities and strategies – Demonstrates a good understanding of risks related to the approach – Demonstrates how they will support and monitor activities which seek to strengthen organisational, institutional or individual capacity <p>Required supporting documentation:</p> <ul style="list-style-type: none"> – Proposed Inception Phase Budget and Implementation Budget. 	<p>25%</p>
<p>In-country Organisational Capacity</p>	
<p>Criterion 5: Demonstrated in-country ability to implement effective WASH programs, including emphasis on gender equality and social inclusion</p> <p><i>Applicants' in-country capacity must demonstrate:</i></p> <ul style="list-style-type: none"> – Use of effective (strategic, gender and socially inclusive and responsive) WASH programming approaches in the country including M&E systems, WASH sector dialogue and coordination – Ability to form highly skilled and effective in-country teams to manage and implement projects – Past performance in managing projects which contribute effectively to gender and socially inclusive sustainable WASH outcomes <p>Required supporting documentation:</p> <ul style="list-style-type: none"> – Up to two (2) Past Experience Forms, including details of referees⁹. 	<p>15%</p>

⁹ Past Experience Forms will be considered in this Criterion and Criterion 1.

Section 3: Proposal Format

Word limits are specified in the [SmartyGrants form](#). Through the completion of the form, each proposal must include:

1. Summary description of the overall CSO Proposal
2. CSO Organisational Profile
3. Project Concept details
4. In-country CSO Capacity Statement
5. Supporting Documentation
 - a. Consortium Agreement, signed by the Heads of each Consortium Agency. This Agreement should include details of the Consortium members' corporate commitment and involvement in the Submission.
 - b. Curriculum vita of the Lead Manager of up to **two (2)** pages, which must be signed and dated.
 - c. Up to **two (2)** written references for the Lead Manager of up to **two (2)** pages each, which must be signed and dated.
 - d. Proposed Inception Phase Budget and Implementation Budget.
 - e. Up to **two (2)** Past Experience Forms, including details of referees.
6. Organisation's Declaration

Section 3.1: Past Experience Form, including referees

1. Details of a relevant CSO program or project that demonstrates the CSO's ability to fulfil the objectives of the Fund must be provided in the application.
2. Up to **two (2)** per submission containing the following information:

Project Name:	
Project Value:	
Project Location(s):	
Project Duration:	
Donor(s):	
Brief description of the Project, the Organisation's role and evidence of outcomes.	
Statement of the similarities, if any, between this past project and the project currently being proposed. Describe how this is relevant.	
Referees (refer to referee requirements in Section 3.1.1).	

Section 3.1.1: Referees

1. Applicants **must** provide the name and contact details of **one (1)** referee for each Past Experience Form included in a submission (up to **two (2)** per submission).
2. Referees **must** be able to comment on the organisation's experience and capacity to achieve the Water for Women Fund objectives.
3. 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.
4. DFAT and/or the Fund Coordinator reserves the right to check with nominated referees and with other persons as DFAT and/or the Fund Coordinator chooses, the accuracy of the information provided by the organisation and the quality of past work performed by the organisation.
5. For the purposes of this clause 3.1.1 and Section 3.3, '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 3.2: Project budget

Instructions for Applicants:

Applicants **must** complete Tables 3 and 4 below. The proposed budgets should be as detailed as possible at this stage, taking into account the information below.

Ineligible costs

Support will NOT be provided for applications that seek funding for:

1. Recurrent costs, unless there is a convincing plan to ensure the costs will be able to be taken over at the national level within the life of the project.
2. Retrospective activities.
3. Administration costs that exceed 10 per cent of total project costs (these are charges associated with the operations of a CSO and are listed in Section 10.1 of the ANCP Manual: <http://dfat.gov.au/about-us/publications/Pages/australian-ngo-cooperation-program-manual.aspx>). Requests for an increase in this level will be considered on a case by case basis with possible justification including, but not limited to: expansion into a new geographic area or working in a less secure environment.
4. Construction of CSO infrastructure to be owned and used by the CSO e.g. office space, sheds etc.

Value for money

As part of the selection process applications will be assessed as value for money against the following considerations:

1. The funds requested, and detailed in the Inception Phase Budget and the Implementation Budget as part of the proposal, are reasonable and proportional to the intended work to be undertaken. Note: Cost will not be the only determining factor in assessing value for money. The assessment of proposals will consider:
 - fitness for purpose - that a grant would add value by achieving worthwhile benefits that would not occur without grant assistance (derived from the outcomes and strategies outlined in the project proposal) and are proportional to the requested grant size;
 - the performance history of the applicant;
 - the degree of innovation and relative risks within the proposal, and risk analysis and management plan outlined;
 - procurement and management approaches and costs and options considered, including whether the proposed use of funds demonstrate efficiencies without compromising outcomes; and
 - financial considerations, including all expected direct and indirect benefits and costs over the project cycle.
2. In cases of multiple proposals from a CSO, the added value of multiple projects such as management arrangements, collaboration or learning to achieve Fund outcomes will be considered in the value for money assessment.

Table 3: Proposed Inception Phase Budget – maximum of AUD100,000 per proposal

Budget line item	Sub-budget line item	DFAT ¹ Contribution	CSO ² Contribution
Personnel costs³	International staff		
	Local staff		
	Sub-total		
Travel costs	International staff: international travel		
	International staff: domestic travel		
	Local staff: international travel		
	Local staff: domestic travel		
	Sub-total		
Local office costs⁴	Materials, equipment		
	Office accommodation costs		
	Office running costs (electricity, communication, consumables etc.)		
	Local transport costs		
	Insurance		
	Other (specify)		
	Sub-total		
Activity costs	Materials, equipment etc.		
	Travel for non- project staff		
	Other (specify)		
	Sub-total		
Partner Organisations⁵	Organisation X		
	Organisation Y		
	Organisation Z		
	Sub-total		
CSO Administration Costs⁶	Head Office costs, CSO management oversight		
TOTAL			

¹ A maximum of AUD100,000 per proposal.

² Applicant contributions are not mandatory but must be declared.

³ Gross salaries including allowances, superannuation and other related costs. A breakdown by individual staff members and disaggregation into salaries and non-salary costs is not required.

⁴ Only costs related directly to the delivery of the project should be included here. The 'CSO Administration Costs' budget line item should cover expenses related to staff costs, assets, activities or other costs not directly related to the project.

⁵ Costs associated with the Inception Phase for consortia partners, other partners and significant sub-contractors. Enough information should be given in the line item title to determine what the activity is.

⁶ CSOs are able to allocate up to 10% of their grant to administrative costs in any financial year. Administration costs are charges associated with the operations of a CSO and are listed in Section 10.1 of the ANCP Manual (<http://dfat.gov.au/about-us/publications/Pages/australian-ngo-cooperation-program-manual.aspx>). Requests for an increase in this level will be considered on a case by case basis with possible justification including, but not limited to: expansion into a new geographic area or working in a less secure environment.

Budget line item	Sub-budget line item	Project Costs	
		DFAT Contribution	CSO ¹ Contribution
Personnel costs²³	International staff: Program Manager		
	International staff: other		
	Local staff: Project Manager		
	Local staff: Other staff		
	Sub-total		
Travel costs⁴	International staff: international travel		
	International staff: domestic travel		
	Local staff: international travel		
	Local staff: domestic travel		
	Sub-total		
Local office costs⁵	Materials, equipment, vehicles ⁶		
	Office accommodation costs		
	Office running costs (electricity, communication, consumables etc.)		
	Vehicle running costs		
	Asset Maintenance costs		
	Bank charges / exchange rate fees		
	Audit costs		
	Freight costs		
	Insurance		
	Other (specify)		
	Other (specify)		
	Other (specify)		
	Sub-total		
Activity costs	Materials, equipment etc.		
	Training costs, including training materials		
	Travel for non-project staff		

¹ Applicant contributions are not mandatory but must be declared.

² Gross salaries including allowances, superannuation and other related costs. A breakdown by individual staff members and disaggregation into salaries and non-salary costs is not required at this submission stage.

³ Although there is no upper limit to the proportion of grant funding allocated to staffing costs, costs should be proportional to the nature of the project proposed.

⁴ Travel costs, including travel to support M&E and K&L activities should be proportional to the nature of the project proposal. A breakdown between travel/accommodation and per diem costs is not required at this submission stage.

⁵ Only costs related directly to the delivery of the project should be included here. The 'CSO Administration Costs' budget line item should cover expenses related to staff costs, assets, activities or other costs not directly related to the project.

⁶ Include an asset procurement plan.

	Project management and coordination costs ⁷		
	Other (specify)		
	Other (specify)		
	Other (specify)		
	Sub-total		
Partner Organisations⁸	Organisation X		
	Organisation Y		
	Organisation Z		
	Sub-total		
M&E and K&L costs	Performance monitoring costs, excluding staff costs and travel		
	Report preparation and publications		
	K&L activities (please specify)		
	K&L activities (please specify)		
	K&L activities (please specify)		
	K&L activities (please specify)		
CSO Administration Costs⁹	Head Office costs, CSO management oversight		
TOTAL			

⁷ Includes costs associated with communication, information sharing and collaboration with relevant government and non-government agencies and partners.

⁸ Costs associated with service delivery by consortia partners, other partners and significant sub-contractors. Enough information should be given in the line item title to determine what the activity is.

⁹ CSOs are able to allocate up to 10% of their grant to administrative costs in any financial year. Administration costs are charges associated with the operations of a CSO and are listed in Section 10.1 of the ANCP Manual (<http://dfat.gov.au/about-us/publications/Pages/australian-ngo-cooperation-program-manual.aspx>). Requests for an increase in this level will be considered on a case by case basis with possible justification including, but not limited to: expansion into a new geographic area or working in a less secure environment.

Section 3.3: Organisation's Declaration

1. Applicants **must** attach a completed and signed Organisation's Declaration in the format provided below (downloadable from SmartyGrants).

Organisation's Declaration
<ul style="list-style-type: none"> I hold the position of _____ 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 Water for Women Fund 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"> (a) 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 (b) 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"> (a) listed on a World Bank List or a list maintained by any other donor of development funding; (b) 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; (c) 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:</p> <p>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 corruption, including bribery of a public official, nor are they subject to any proceedings which could lead to such a conviction.
<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 http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx.
<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 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.
<ul style="list-style-type: none"> • I make this Declaration, in accordance with the <i>Statutory Declarations Act 1959</i> (Cth), subject to the penalties provided by that Act for making false statements in Statutory Declarations, and I conscientiously believe that the statements contained in this Declaration are true in every respect
Signature:
Name in Full:
Position in Organisation:
Date:

Annex 2: Sample Inception Phase Grant Agreement

THIS SAMPLE IS FOR INFORMATION ONLY
THE FINAL VERSION WILL BE DEVELOPED BY THE FUND
COORDINATOR

[Name]

[Recipient Entity] ('the Recipient')

[Address]

Dear [Name]

I am pleased to advise that DFAT wishes to give your organisation (the Recipient) a grant to support it to implement the activity "[Insert Activity title]", described in **Attachment B** to this letter. The details of the grant are set out in **Attachment A**. If the Recipient accepts the grant, it must comply with the terms and conditions set out in **Attachment C**.

Please read Attachments A, B and C ("the **Agreement**"). To accept the grant on behalf of the Recipient, please sign below and return the original signed document (including the Attachments) to:

[Contact person name or job title]

DFAT

[Address in Canberra or at Post]

Yours sincerely

[DFAT delegate name]

Delegate

[Month] [Year]

ACCEPTANCE OF GRANT

On behalf of the Recipient, I accept the grant offered by DFAT as described in Attachment A, to implement the Activity described in Attachment B, and on the terms and conditions set out in Attachment C.

..... (signature)

..... (print name)

..... (date)

ATTACHMENT A – GRANT DETAILS

Grant	AUD[insert amount], inclusive of GST And any interest earned on the Grant or through exchange rate gains.	
Tranches	Tranche Amount	Tranche Date
	Total	
Tranche Conditions	<p>DFAT will pay the Recipient an acquittable Grant up to a maximum of [Insert currency and value], inclusive of GST if any up to a maximum amount of [Insert currency and 10% of value if this is an Australian Organisation only], in tranches divided as follows:</p> <p>DFAT will pay Tranche 1 within thirty (30) days of the date of this Agreement and subject to receipt of a valid invoice as per clause 2 of Attachment C.</p> <p>DFAT will pay subsequent tranches at the date indicated above subject to the Recipient providing:</p> <ul style="list-style-type: none"> • an Acquittal Statement of [Insert percentage usually 80+]% of the previous tranche, signed by the senior financial officer or the head of the Recipient indicating that the Grant funds being acquitted have been expended in accordance with the terms of this Agreement; and • submitting a valid invoice as per clause 2 of attachment c; and • making satisfactory progress with implementation of the Activity as determined by DFAT. 	
Recipient	[Insert name of the Recipient]	
Activity	The Activity described in Attachment B.	
Activity Start Date	[Insert]	
Activity End Date	[Insert]	
Agreement No.	[Insert]	
Recipient Contact	Name: Street Address: Email: Facsimile:	
DFAT Contact	Name: Address: Email: Facsimile:	

ATTACHMENT B - ACTIVITY: not provided in this sample agreement

ATTACHMENT C - TERMS AND CONDITIONS

1. INTERPRETATION

- 1.1. Terms used in these Terms and Conditions have the meaning given in the Grant Details.

2. PAYMENT OF THE GRANT

- 2.1. The Recipient must give DFAT an invoice requesting payment of the Grant which includes the DFAT Agreement Number in the Grant Details and the name of the Activity.
- 2.2. The Recipient must send the invoice:
 - By mail to:
Chief Finance Officer
Department of Foreign Affairs and Trade
R.G. Casey Building
John McEwen Crescent
Barton ACT 0221
AUSTRALIA; or
 - By email to: accountsprocessing@dfat.gov.au
- 2.3. If the Recipient has an Australian Business Number (ABN), the invoice must be a valid tax invoice.

3. RECIPIENT'S OBLIGATIONS

- 3.1. The Recipient must:
 - a) Implement the Activity.
 - b) Commence the Activity on or before the Activity Start Date.
 - c) Complete the Activity on or before the Activity End Date.
 - d) Use the Grant diligently and for the sole purpose of the Activity.
 - e) Promptly advise DFAT if it has any problems with or experiences any delays in the implementation of the Activity.
 - f) Acknowledge the Grant, where appropriate (for example, in publicity for the Activity).
 - g) Keep detailed accounts and records of how it spent the Grant.
 - h) Comply with the law when implementing the Activity.
 - i) Comply with DFAT's *Child Protection Policy* (<http://www.dfat.gov.au/childprotection>).
 - j) Promptly advise DFAT if it discovers any link between the Recipient or the Activity and organisations or individuals associated with terrorism.
 - k) If required by DFAT, permit DFAT to monitor and/or evaluate the Activity and/or the use of the Grant.
 - l) If required by DFAT, permit DFAT to audit its accounts and records relating to the Activity and the Grant.
 - m) Not enter into a contract for the purpose of implementing the Activity with a person or entity that is listed on a World Bank List or a Relevant List.
 - n) Immediately inform DFAT if it discovers that a person or entity with which it has entered into a contract for the purpose of implementing the Activity is listed on a World Bank or a Relevant List.
 - o) If directed by DFAT to do so and at no cost to DFAT, terminate a contract entered into for the purpose of implementing the Activity if the contractor is listed on a World Bank List or a Relevant List.
- 3.2. In clauses 3.1 and 8.1(d):
 - a) "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?theSitePK=84266&contentMDK=64069844&menuPK=116730&pagePK=64148989&piPK=64148984>; and
 - b) "Relevant List" means any similar list to the World Bank List maintained by any other donor of development funding.

- 3.3. The Recipient must use its best endeavours to ensure that:
- a) Its personnel comply with the law when implementing the Activity;
 - b) Individuals or organisations involved in implementing the Activity are not linked, directly or indirectly, to organisations or individuals associated with terrorism; and
 - c) The Grant is not used to provide direct or indirect support or resources to organisations or individuals associated with terrorism.
- 3.4. The Recipient must not:
- a) Use the Grant to buy an asset unless that asset is referred to in Attachment B or the purchase has been approved by DFAT.
 - b) Dispose of or write-off assets purchased with the Grant except as approved by DFAT.
 - c) Give to or receive from anyone a gift, payment or other benefit if the act is or could be construed as illegal or corrupt.
 - d) Give to or receive from anyone a gift, payment or other benefit as a reward in relation to this Agreement.
 - e) Bribe public officials.
 - f) Assign its interest in this Agreement without DFAT's prior approval.
4. CONFIDENTIALITY
- 4.1. The Parties agree not to disclose each other's confidential information without prior written consent unless required or authorised by law or Parliament.
- 4.2. This clause shall survive expiration or termination of this Agreement.
5. FRAUD
- 5.1. For the purposes of this paragraph, "Fraudulent Activity" "Fraud" or "Fraudulent" means dishonestly obtaining a benefit, or causing a loss, by deception or other means, and includes incidents of attempted, alleged, suspected or detected fraud.
- 5.2. The Recipient must not and must ensure that its employees, agents, representatives and subcontractors do not engage in any Fraudulent Activity. The Recipient is responsible for preventing and detecting Fraud.
- 5.3. If the Recipient becomes aware of any Fraudulent Activity involving any activities funded in whole or in part with a contribution made under this agreement, the Recipient must report the matter to DFAT within 5 business days. The Recipient must investigate the alleged Fraud at the Recipient's cost and take actions in accordance with its regulations, rules, policies, procedures and any directions or standards required by DFAT.
- 5.4. Following the conclusion of any investigation which identifies Fraudulent Activity, the Recipient must:
- a) take all reasonable action to recover any part of the contribution, the subject of Fraudulent Activity;
 - b) refer the matter to the relevant police or other authorities responsible for prosecution of Fraudulent Activity where the incident occurred, unless the Director of DFAT's Fraud Section agrees otherwise in writing;
 - c) as required by DFAT, reimburse to DFAT any part of the Contribution misappropriated through Fraudulent Activities; and
 - d) keep DFAT informed, in writing, on a monthly basis, regarding the status of actions undertaken with respect to the Fraudulent Activity.
- 5.5. The obligations of the Recipient under this Clause 5 shall survive the termination or expiration of this agreement.
6. REPORTING AND REPAYMENT OF UNSPENT GRANT FUNDS
- 6.1. Within thirty (30) days after the Activity End Date, the Recipient must send to the DFAT Contact:
- a) a final report which includes an outline of the Activity, the key outcomes compared with objectives, development impact, sustainability and lessons learned; and
- 6.2. an acquittal statement which:
- a) explains how the Recipient spent the Grant;
 - b) confirms that the Recipient spent the Grant in accordance with this

- Agreement; and
 - c) is signed by the senior financial officer or the head of the Recipient indicating that the Grant funds being acquitted have been expended in accordance with the terms of this Agreement
- 6.3. If the Recipient has not spent any part of the Grant, it must return the unspent funds to DFAT with the acquittal statement.
- 7. **INTELLECTUAL PROPERTY**
 - 7.1. The Recipient will own any intellectual property in material created by the Activity but grants DFAT an irrevocable, non-exclusive, world-wide, royalty-free licence to use the material for any purpose.
- 8. **TERMINATION**
 - 8.1. DFAT may immediately terminate this Agreement by giving the Recipient a notice in writing if the Recipient:
 - a) Becomes, or in the opinion of DFAT may become, bankrupt, insolvent, deregistered or no longer able to undertake the Activity to a standard acceptable to DFAT.
 - b) Fails to commence or, in the opinion of DFAT, fails to make satisfactory progress in carrying out the Activity and the failure has not been remedied within the time specified in a written request from DFAT to remedy the failure.
 - c) Breaches a term of this Agreement and does not remedy the breach within the time stipulated in a written request from DFAT to remedy the breach.
 - d) Is listed on a World Bank List or Relevant List, or is subject to any proceedings, or an informal process, which could lead to being listed or temporarily suspended from tendering for World Bank or other donors of development funds contracts, or is subject to an investigation whether formal or informal by the World Bank or another donor of development funding.
 - 8.2. DFAT or the Recipient may terminate this Agreement by giving the other party a written termination notice which includes the reasons for termination.
 - 8.3. If this Agreement is terminated, the Recipient must:
 - a) Immediately do everything possible to prevent and reduce all losses, costs and expenses caused by the termination.
 - b) As soon as possible, stop spending any uncommitted Grant funds.
 - c) Within thirty (30) days of the termination, give DFAT an acquittal statement (see clause 6.2) and return to DFAT any uncommitted Grant funds (including unspent interest and exchange rate gains).
- 9. **COUNTER TERRORISM**
 - 9.1. Consistent with UN Security Council Resolutions relating to terrorism, including UNSC Resolution 1373 (2001) and 1267 (1999) and related resolutions, both DFAT and the Recipient are firmly committed to the international fight against terrorism, and in particular, against the financing of terrorism. It is the policy of DFAT to seek to ensure that none of its funds are used, directly or indirectly, to provide support to individuals or entities associated with terrorism. To those ends, the Recipient is committed to taking appropriate steps to ensure that funding provided by DFAT to support the Recipient is not used to provide assistance to, or otherwise support, terrorists or terrorist organisations, and will inform DFAT immediately if, during the course of this agreement, the Recipient determines that any such funds have been so used.
- 10. **ANTI-CORRUPTION**
 - 10.1. DFAT and the Recipient are committed to preventing and detecting corruption and bribery. The Recipient, through its employees, agents, representatives or subcontractors, will not make or cause to be made, or receive or seek to receive, any offer, gift or payment, consideration or benefit of any kind, which would or could be construed as an illegal or corrupt practice, either directly or indirectly to any party, as an inducement or reward in relation to the execution of this agreement or any arrangement or provision of funds in relation to its operations. The Recipient will use its best endeavours to ensure that any employee, agent,

representative or other entity it is responsible for will comply with this paragraph. The Recipient will promptly notify DFAT of any suspected or detected corruption or bribery affecting programs funded by DFAT and actions taken by the Recipient in response.

11. CHILD PROTECTION

- 11.1. The Recipient must comply, and must ensure that its subcontractors and Personnel comply with DFAT's *Child Protection Policy*, accessible at <http://dfat.gov.au/about-us/publications/Pages/child-protection-policy.aspx>.
- 11.2. DFAT may conduct a review of the Recipient's compliance with DFAT's *Child Protection Policy* referred to in clause 11.1. DFAT will give reasonable notice to the Recipient and the Recipient must participate co-operatively in any such review.

12. BRANDING

- 12.1. Wherever Australia provides financial, and/or policy and practical support for activities led by the Recipient, that support will receive substantial recognition in all associated the Recipient documents and publications, both hard copy and electronic, media, speeches and other announcements. This includes concept papers, board approval documents, media releases, speeches, brochures and publicity materials, signs, web pages and formal correspondence, including and especially with the partner country concerned.

13. GENERAL

- 13.1. This Agreement commences when DFAT receives the Recipient's signed confirmation of its acceptance of the Grant and continues until the parties have fulfilled all of their obligations.
- 13.2. DFAT must send notices to the Recipient Contact in the Grant Details.
- 13.3. The Recipient must send notices to the DFAT Contact in the Grant Details.
- 13.4. This Agreement may be amended by a Deed of Amendment signed by DFAT and the Recipient.
- 13.5. This Agreement is governed by the law of the Australian Capital Territory, Australia.

Annex 3: Investment Design Document

The Water for Women Fund Investment Design Document can be accessed via the following link:

<http://dfat.gov.au/about-us/business-opportunities/tenders/Pages/investment-design-document-water-for-women-fund.aspx>