



Australian Government
Department of Foreign Affairs and Trade



Water for Women Fund

Water Sanitation and Hygiene (WASH) Research Awards (WRAs) Guidelines

Call for Proposals

Date: 18 December 2017

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Section 1: Background and introduction

- 1.1 Research is a key pathway for development innovation and to inform policy-making and program delivery. Investments in research facilitate access to diverse partnerships and networks, contributing to Australia's aid policy and wider diplomatic engagement in partner countries. Providing access to high-quality research and analysis that addresses key water, sanitation and hygiene (WASH) sector gaps assists partner governments, private sector and civil society to improve access to these essential services.
- 1.2 The WASH Research Awards (WRAs) is a \$10.6 million research component of the Department of Foreign Affairs and Trade (DFAT) funded Water for Women (WfW) Fund. The WfW Fund also supports Civil Society Organisations (CSOs) to implement gender and socially inclusive WASH projects in Asia and the Pacific. The WRAs will provide funds for high-quality, policy-relevant research that is available, accessible and communicated to the policy development and program design community in Australia, Asia and the Pacific and across the global WASH sector. Research undertaken through the WRAs will focus on key sector research gaps and on knowledge gaps associated with CSO implementation towards the outcomes of the Water for Women Fund. All research processes will be expected to be gender and socially inclusive. The geographic scope of the Research Component will be across the Asia and Pacific regions.
- 1.3 These Guidelines explain the competitive grant process to select grantees to implement WASH Research Awards. The rationale and approach of the research component outlined in the Water for Women Design Document Annexes (WfW Design Document) is provided in (**Attachment C**) for reference as well as the main WfW Design Document (**Attachment G**). The research component will be managed by the Water for Women Fund Coordinator (Fund Coordinator) on behalf of DFAT.

Section 2: Objectives and priority themes

2.1 Objectives

- 2.1.1 The WASH Research Awards aim to contribute to the goal of *'Improved health, gender equality and well-being of Asian and Pacific communities through inclusive, sustainable WASH.'*
- 2.1.2 The WRAs will support that goal by contributing to the Water for Women's *fourth end-of-program* outcome:
 - a. Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors
- 2.1.3 This key outcome in turn is supported by the Fund's intermediate outcome of:

- b. Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors
- 2.1.4 The three key strategies that will support these outcomes include:
- c. Quality research engagement, partnerships and networks
 - d. Quality research capacity building
 - e. Quality research management, processes and outputs.

2.2. Priority themes and proposal types

- 2.2.1 The WASH Research Awards will grant funding for research under the following five priority themes (examples are indicative only):
- a. Gender and social inclusion and WASH (*for example: including areas of intersection such as menstrual hygiene; women's leadership or women's economic empowerment in relation to WASH; violence and safety and WASH; disability and WASH; maternal health; and health facilities or a wide range of other topics*)
 - b. Safely managed water and safely managed sanitation and hygiene (both urban and rural contexts) (*for example: including beyond Open Defecation Free (ODF); progression to safely managed drinking water supply; innovations in technology and processes to achieve safe standards; and effectiveness of, and innovation in hygiene behaviour approaches.*)
 - c. Achieving SDG6 – integration of water resources management (WRM) and WASH, disaster risk reduction (DRR) and WASH, climate change adaptation (CCA) and WASH and water security (*for example: including vulnerability and resilience; water scarcity; water allocation and decision-making; risk-based approaches; and climate preparedness*)
 - d. Strengthening sector systems (*for example: planning; monitoring; governance coordination; financing; service delivery models; sustainability outcomes including through longitudinal research; political economy; and government, private sector and community roles at national and subnational levels*)
 - e. Cross-sectoral WASH and its impacts: particularly health, nutrition, food security and education (*for example: health and non-health impacts of WASH; links and synergies between WASH and nutrition; and links between menstrual hygiene and school absenteeism*).
- 2.2.2 Two types of proposals will be sought under the WfW Fund:
- a. WASH sector research addressing key knowledge gaps (Type 1 award);
 - b. Research closely linked to CSO implementation and outcomes of the WfW Fund (Type 2 award).

This call for proposals is only for Type 2 awards. It allows for collaboration between research organisations and selected CSOs to implement projects under the WfW Fund at a time when CSOs are finalising their project design documents.

Proposals for Type 1 awards will be invited at a later date. This allows for the identification of key knowledge gaps once the CSO programs have been designed and are operational.

Section 3: Eligibility criteria

3.1 Organisation eligibility

- 3.1.1 Applications must meet each of the following eligibility criteria:
- a. Applications must be submitted by research organisations or institutions (and not by individual researchers);
 - b. The Principal Investigator must nominate an organisation with which he/she is affiliated to administer the grant and provide support;
 - c. The Funding Round is open to all Australian and international not-for-profit institutions or organisations where research is a core component of the organisation's mandate and where the organisation has demonstrated capacity to carry out quality research and manage grant funds according to DFAT's policies;
 - d. The administering organisation must have access to a recognised Ethics Approval process;
 - e. Project teams, administering organisations and partners funded by DFAT must demonstrate that they are ethically sound and, where applicable, seek ethics approval from their nominated administering organisation. Ethics approval requirements in the research project target location (country/countries) must be taken into consideration and met;
 - f. Demonstrated alignment with one or more of the five priority themes (see preceding section 2.2 and **Attachment C**).
- 3.1.2 Organisations submitting applications must not have any reason preventing them from operating in Australia, Asia and the Pacific.
- 3.1.3 Consortia are eligible and must have a clearly identified lead organisation.
- 3.1.4 Consortium applications must be accompanied by a separate letter from each partner providing information about itself, noting the relationship between the Lead Organisation and partner organisation(s) and expressing the intent to collaborate.
- 3.1.5 The Lead Organisation in a consortium will be accountable for all funds. The Grant Agreement shall be signed with the Lead Organisation, and the Lead Organisation is responsible to the Fund Coordinator on behalf of DFAT for the performance of the consortium under the Grant Agreement to achieve the objectives as required.
- 3.1.6 Organisations may be involved in several consortia and proposals.
- 3.1.7 The Fund Coordinator, in consultation with DFAT, reserves the right to reassess any proposal if, following submission, the membership of the successful consortium proposal changes, including the withdrawal of consortium member(s).

3.2 Proposal eligibility

- 3.2.1 In order to be eligible, your application must:
- a. Be completed in accordance with the 'Invitation to Submit an Activity Proposal' (**Attachment A**);
 - b. Have investigation as its main objective and have observable outcomes relevant to the Australian aid program and partner countries. The WRAs do not fund bio-medical research, product development or organisational linkages (except as they relate to capacity building);
 - c. Not be seeking funding specifically for the sole purpose of hosting, organising or attending conferences or workshops; producing research publications; consultancy fees for projects that do not meet the definition of research; or specifically for travel to conferences/workshops and/or meetings;
 - d. Not be seeking funding for the conduct of individual researchers' masters or doctoral projects. However, if an organisation's proposed research project is eligible for support, then any nominated masters or doctoral research that convincingly forms an integral part of the proposed research project may be included.

Section 4: Funding

- 4.1 Applicants may apply for between AUD100,000 and AUD400,000 per year of Australian Government funding for up to three years at differentiated levels of funding over the course of the research project. Grants will be paid in six monthly tranches subject to ongoing annual monitoring of the project and acceptance of Progress Reports (templates provided in **Attachment E**). Proposals of up to three years in duration will be accepted, and the length of time must be justified by the nature of the research project.
- 4.2 DFAT encourages applicants to identify and include co-funding opportunities. Co-funding may include, but not be limited to, in-kind contributions such as release time from teaching duties. In the case that two or more proposals are rated as being of equal merit, preference will be given to the proposal with the greatest level of cost sharing.
- 4.3 WRA grants cover the following eligible costs:
- a. the direct costs of research (researcher salary, fieldwork costs, travel, insurance);
 - b. communication and engagement;
 - c. capacity building activities.

Section 5: Application process and indicative timeline

5.1 Timeline

- 5.1.1 The timeline for this competitive grant process is summarised in Section 1.2 in

Attachment A.

5.2 Applicant questions and DFAT responses

5.2.1 All enquiries concerning these WRAs must be submitted via email to waterforwomen@ghd.com as soon as possible and no later than the deadline provided in Section 1.2 in **Attachment A**.

5.2.2 The Fund Coordinator will respond to all enquiries no later than the date provided in Section 1.2 in **Attachment A**.

5.2.3 The Fund Coordinator will publish answers to enquiries on the DFAT Business Opportunities and Water for Women websites (once available), without identifying the organisation that submitted the enquiry.

5.2.4 The Fund Coordinator recommends that, up until the Closing Time, applicants check the websites regularly for updates.

5.3 Deadline for proposal submission

5.3.1 The deadline for proposal submission is provided in **Section 1.2, Attachment A** (Closing Time). Proposals submitted after this time will not be evaluated.

5.3.2 Assessment will be a one-step process, so a full proposal must be submitted for assessment.

5.4 Conformance check

5.4.1 The Fund Coordinator, and DFAT where relevant, will check that all applications received by the deadline are conforming bids. The Fund Coordinator will ensure the organisation and proposed project meet the eligibility criteria required and detailed in **Section 3**. If an application is ineligible or incomplete, it will not be considered. At the sole discretion of the Fund Coordinator, and DFAT where relevant, those proposals deemed nonconforming will be excluded, and those applicants will be advised at this stage.

5.5 Assessment and Past Performance Information

5.5.1 Conforming proposals will be assessed by a Research Selection Committee (RS Committee) proposed by the Fund Coordinator and endorsed by DFAT, against the objectives and themes described in Section 2 and the selection criteria outlined in Section 6.2. Details of the RS Committee are described in Section 6.1.

5.5.2 The evaluation of applications by the RS Committee is conducted on a confidential basis, and RS Committee 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 RS Committee, and any such contact will be considered a breach of confidentiality, potentially resulting in the proposal of the applicant concerned, being rejected.

5.5.3 In making its assessment of a proposal, the RS Committee may take into consideration other factors relevant to the suitability, capacity and qualifications of an applicant organisation including but not limited to:

- a. checking the accuracy of information and quality of previous work performed including the resourcing of previous work with nominated referees and with other persons or organisations. This may also include DFAT Partner Performance Assessments (PPAs);
- b. interviewing the Applicant; and
- c. obtaining information from any legitimate, verifiable source, which is relevant to the capacity of the applicants.

5.5.4 Previous performance information may only be provided to RS Committee members where it is considered relevant. RS Committee members may not introduce irrelevant issues or hearsay into the assessment or base their assessment on information that is hearsay and cannot be substantiated.

5.6 Debriefing of applicants

5.6.1 Applicants are entitled to request a written debrief 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 debrief will provide information on scores achieved against individual criterion and comments from the RS Committee.

5.6.2 DFAT and the Fund Coordinator will not enter into discussion or communications on the content of the debrief, once it has been issued.

5.7 Complaints

The Fund Coordinator will prepare procedures based on DFAT's Complaints Handling Procedures Relating to Procurement (<http://www.dfat.gov.au/about-us/publications/Pages/complaints-handling-procedures-procurement.aspx>)

Section 6: Selection process of Eligible Applicants

6.1 Assessment

6.1.1 The RS Committee will be formed with membership consisting of representatives from the Fund Coordinator and DFAT, plus two external members. The external members will be specialists with broad expertise in WASH-related research (social sciences and technical fields) and gender and socially inclusive research.

6.1.2 The RS Committee will conduct a high-quality process of assessment involving both a selection RS Committee and independent external review to ensure transparency, accountability and quality.

6.1.3 The RS Committee will assess applications for consistency with application requirements, including adequate fit with the priority research themes. All decisions are final and there is no appeal.

6.1.4 Applications that satisfy the basic requirements will be subjected to the following process:

- a. The RS Committee will assess eligible proposals against the Selection Criteria given in **Section 6.2** and develop a shortlist of applicants for possible funding;

- b. Proposals of shortlisted applicants will undergo external peer-review by two independent peer-reviewers, appointed by the Fund Coordinator. Comments on proposals will be sought from relevant parts of DFAT (e.g. DFAT Posts, Thematic areas);
- c. Upon receiving the recommendations from peer-reviewers, the RS Committee will reconvene and make final determinations, based on peer-review findings, relevant DFAT feedback and the RS Committee's own rankings;
- d. Panel recommendations will be based on relative merit of the shortlisted application against the assessment criteria, total funding available, and a balanced research portfolio. Panel recommendations will be submitted to the Fund Coordinator for consideration. The Fund Coordinator will then submit a final list of research grants for DFAT endorsement.
- e. Applicants will be notified of the grant decisions in writing, with successful applicants being listed on the Water for Women (when available) and DFAT websites.
- f. Clear and transparent mechanisms will be available throughout the assessment process for the RS Committee members or peer-reviewers to declare any existing or potential conflicts of interest.

6.1.5 The RS Committee will prepare a report that:

- a. summarises the RS Committee's assessment of each proposal against the Selection Criteria; and
- b. recommends preferred applicants and lists other suitable applicants in ranked order for endorsement by DFAT.

6.2 Selection Criteria

6.2.1 Applications will be assessed based on the following Selection Criteria:

No.	Selection Criteria	Notes
Organisational capacity and effectiveness		Weighting: 35%
1	Research Leadership and Team (including partners) (Weighting 15%)	<ul style="list-style-type: none"> > The track record, experience and performance of senior academic leadership, including research excellence, team leadership, in-country collaboration and research partnership in relevant country(ies), relevant experience in WASH-related research and their time-commitment to the project > The track record, experience and performance of other team members (including partners) in relevant development research and research partnerships, including in-country experience > Capacity to undertake and manage the proposed research is shown, including project management skills of a relevant research manager/coordinator (for proposed activity/activities) > Depth of WASH-related research expertise and experience (including related sectors/disciplines) and demonstrated gender and social inclusion expertise within the team
2	Past performance and impact (Weighting 15%)	<ul style="list-style-type: none"> > Evidence of high-quality WASH research conducted in relevant country contexts, including outcomes and impact

		<ul style="list-style-type: none"> > Evidence of effective engagement and communication processes with end-users, including WASH or other practitioners and/or policymakers and DFAT as relevant > Evidence of successful research partnerships and research capacity building > Evidence of use of gender-sensitive and socially inclusive research processes, as relevant to the research topic > Contribution to global WASH sector evidence base and debates
3	Organisational management systems (Weighting 5%)	<ul style="list-style-type: none"> > Evidence of strong project management and research management processes > Evidence of rigorous quality assurance processes > Demonstrated record of on-time delivery of development research projects > Understanding of, and adherence to, DFAT policies and country program priorities
Research project concept		Weighting 65%
4	Significance, innovation and policy-practice relevance (Weighting 15%)	<ul style="list-style-type: none"> > The research addresses an important problem > Anticipated outcomes will advance the knowledge base of the discipline and relevant WASH policy and practice > The project aims and concepts are novel and innovative in the research context > The activity enhances development knowledge available to key policymakers and/or practitioners in the region > There is a demonstrated demand and/or a need for research on this topic within the development community and target countries. <p><i>For type 2 projects only:</i></p> <ul style="list-style-type: none"> > <i>The research project is relevant to the goal and outcomes of CSO implementation in the Water for Women Fund</i> > <i>There is demonstrated demand from CSOs for the research.</i>
5	Research Design & Methods (Weighting 20%)	<ul style="list-style-type: none"> > The conceptual framework, design, methods and analyses are well developed, integrated and appropriate to the aims of the project > The research approach is clearly justified and the methodology is highly likely to result in meaningful findings > The design combines robust qualitative and/or quantitative methods with innovative thinking > Useful outputs will be produced that will keep all key stakeholders informed about the progress of – and where applicable, engagement with – the research during the life of the project > A logical and feasible work plan is presented. <p><i>For type 2 projects only:</i></p> <ul style="list-style-type: none"> > <i>The allocated roles for CSO partners are appropriate, feasible and meaningful.</i>
6	Communication & Engagement (Weighting 10%)	<ul style="list-style-type: none"> > The communication and engagement strategy is plausible and achievable and based on sound understanding of the end-user context > The strategy targets specific audiences and outlines methods for meaningfully engaging each audience from the outset of the project > Appropriate communication and engagement activities are included in the budget.
7	Capacity Building (Weighting 10%)	<ul style="list-style-type: none"> > The project contributes to capacity building to undertake research and use of research findings in developing countries > The activity will generate opportunities for developing country researchers and early career researchers to strengthen their international research experience.
8	Budget and Value for Money (Weighting 10%)	<ul style="list-style-type: none"> > The proposed budget is appropriate and offers value for money > The administering organisation is contributing to the project > There are other partners involved in the activity who are making either financial or in-kind contributions.

Section 7: Safeguards and cross-cutting issues

All organisations (including all partners in a consortium) must comply with the Fund Coordinators's and DFAT's safeguards policies including DFAT's Child Protection Policy. The Fund Coordinator's safeguard policies are in alignment with DFAT's policies.

Section 8: Contractual, reporting and acquittal requirements

- 8.1 The successful applicants will be engaged via a grant agreement between the research organisation and the Fund Coordinator. An example grant agreement is provided in **Attachment B** for information only. The grant agreement will be finalised by the Fund Coordinator during the inception period. During negotiations of the grant agreement, the Research Organisation and the Fund Coordinator will investigate opportunities to convert the all or part of the funding structure to an output basis.
- 8.2 Reporting requirements are also described in **Attachment E**. The actual reporting templates will be refined during the Inception Phase to suit the needs of the overall Water for Women Fund and DFAT.

Section 9: Contact Person

The contact person for this research awards process will be:

Dr Alison Baker,
Fund Manager, Water for Women Fund

Email: waterforwomen@ghd.com

Section 10: Attachments

Attachment A – Invitation to submit an activity proposal

Attachment B – Sample Research Award Grant Agreement

Attachment C – Research Component (WASH Research Awards)

Attachment D – DFAT Funded WASH Research

Attachment E – Indicative Reporting Templates

Attachment F – Impact maximisation extension grant process

Attachment G – Investment Design Document

Attachment H – Performance Assessment Templates

Attachment A: Invitation to Submit an Activity Proposal

WASH Research Awards

Invitation to Submit an Activity Proposal template

Instructions for Organisations:

To be completed by the applicant. Please read the WASH Research Award Guidelines carefully before filling out this template to ensure your proposal and organisation are eligible to apply for funding.

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A.1. Note to applicants

Instructions for Applicants:

The Fund Coordinator is seeking proposals from applicants eligible to apply for grant funding under the WASH Research Awards.

Please read the WASH Research Awards Guidelines carefully before submitting a proposal to ensure you are eligible to apply for funding.

If you choose to lodge a proposal, it **must** be submitted, along with any accompanying documents in accordance with the requirements set out in the WASH Research Awards Guidelines and the requirements set out in this invitation.

This document is separated into four (4) sections which together will be referred to as the “Invitation”.

A1.1 This section introduces the Invitation to submit a proposal.

A1.2 Specifies important details regarding the Invitation, including the closing time, the contact person for the WASH Research Awards and how to submit your proposal.

A1.3 The template format in which applicants are to submit their proposal and incorporates the Selection Criteria (See WASH Research Awards Guidelines) against which applicants’ proposals are assessed. The format will be built into a grants administration system called ‘SmartyGrants’ allowing applicants to submit online.

A.1.4 Details the terms and conditions under which this Invitation is offered. Applicants are encouraged to fully inform themselves of the Invitation’s terms and conditions when preparing their submission and to make any enquiries to the Contact Person as advised in the Call for Proposals, before the enquiry closing time.

This Invitation should be read in conjunction with the WASH Research Awards Guidelines available from DFAT’s website.

A.1.2. Invitation details

Invitation Details	
Name of Program:	WASH Research Awards
Request for proposals	18 December 2017
Closing Time (Proposal submission deadline)	17:00 (Canberra time), 27 Feb 2018
Applicant Briefing	<p>Via Webex or in GHD office in Melbourne/Canberra, Australia 2 pm to 3 pm Thursday, 21 December 2017</p> <p>Confirmation to attend the Briefing: By Close of Business, Wednesday, 20 December 2017 via email to waterforwomen@ghd.com</p>
Water for Women Fund Contact Person:	<p>Alison Baker, Fund Manager Water for Women Fund Email: waterforwomen@ghd.com</p>
Method of Submission:	<p>Online via SmartyGrants https://waterforwomen.smartygrants.com.au/ResearchAwards</p>
Deadline for questions:	Any enquiries that organisations may have concerning this Invitation must be submitted in writing to the Contact Person as soon as possible and not later than, 13 February, 2018
Deadline for responses to questions (addenda):	The Water for Women Fund Coordinator will respond to any Organisation's enquiries no later than, 19 February, 2018

A.1.3. Proposal format

1. Proposals must be submitted via SmartyGrants and include all information required in accordance with **Attachment A** and the [SmartyGrants form](#).
2. Each proposal must be lodged as a separate application via SmartyGrants.

Assessment will be a one step process.

Instructions for Applicants:

Applicants **must** fill out Table 1 below.

Applicants **must** respond to the Invitation as described in Sections below

Note for consortia:

- Please include details for all consortium partners. Copy this table if required.
- Each consortium partner must also provide a 1 page letter that provides brief information about itself, the relationship with other consortium members and expresses the intention to collaborate.

Section 1.3.1: Applicant Details

Table 1: Applicant details	
Organisation name and ABN (if applicable)	
Name of main contact person (including title i.e. Mr/Mrs/Dr/Prof)	
Physical address (including city, postcode, country)	
Work phone number	
Mobile phone number	
Email address	

Section A.1.3.2: Application components

Table 3: Application components
Research details
Proposal title (20 words max)
Start date
End date
Total number of years/months
Proposal type
<input type="checkbox"/> Type 2: Linked to CSO implementation towards goal and outcomes of Water for Women
Relevant research theme
<i>Choose primary theme applicable</i>
<input type="checkbox"/> Gender and social inclusion (GESI) and WASH (including areas of intersection such as menstrual hygiene, women’s leadership or women’s economic empowerment in relation to WASH, violence and safety and WASH disability or a wide range of other topics) <input type="checkbox"/> Safely managed water and safely managed sanitation (both urban and rural contexts) <input type="checkbox"/> Achieving SDG6 – integration of water resources management and WASH, disaster risk reduction and WASH, climate change adaptation and WASH, water security <input type="checkbox"/> Strengthening sector systems (planning, monitoring, governance, service delivery models, political economy, private sector roles) at national and subnational levels <input type="checkbox"/> Cross-sectoral WASH and its impacts: particularly health, nutrition, food security and education
Country/countries
<i>List one or more countries as relevant</i>
Administering organisation details
Does the administering organisation have research as a core function?
Does the administering organisation for this project have a recognised ethics approval process?
Organisational capacity (Weighting: 35%)
Research leadership and team (including partners) (500 words max); Weighting 15%
Past performance and impact (500 words max); Weighting 15%
Organisational management systems (350 words max); Weighting 5%
Research project concept (Weighting: 65%)
Synopsis (250 words max)
Research questions (80 words max)
Significance, innovation, and policy-practice relevance (500 words max); Weighting 15%
<i>Please indicate how you the research addresses and important problem and how it will advance the knowledge base of gender and socially inclusive WASH. Explain how this approach is</i>

innovative and indicate how you will work with the proposed CSOs and contribute to their proposed outcomes.

Research activity design and method (750 words max); Weighting 20%

Please describe the activity design and method, including indicating how your research project will integrate gender and social inclusion into research processes (as relevant and appropriate to the topic). Please outline any key risks and how they will be managed.

Outputs/deliverables (250 words max)

Indicate a set of interim and final outputs and deliverables. An indication of the expected delivery time should be included in the Workplan. Reporting requirements include: 6 monthly progress reports, final report, CEPI report and one or more policy briefs. An output based agreement will be considered during negotiation of the grant agreement.

Workplan (250 words max)

Research team

Name	Position	Organisation	Proposed role (including days allocated)	Qualifications

Research communication & engagement (250 words max); Weighting 10%

Communications strategies should show how the research findings will be taken up and used and, in particular, outline how the research project team will engage with key stakeholders / end-users.

Capacity building (250 words max); Weighting 10%

Note any in-country collaboration, partnerships and developing country and early career researcher involvement, capacity building of partners, local researchers or others, and expected outcomes.

Budget and Value for Money; Weighting 10%

Budget (AUD)

Inception phase

Please note funds requested to support inception phase (maximum of AUD50K)

<i>Researcher's costs</i>	
<i>Travel and related costs</i>	
<i>Other costs</i>	
Total	
Other funding source (not essential)	

Implementation phase

	First year	Second year	Third year	Total
<i>DFAT funds requested</i>				
<i>Administering organisation contributions</i>				
<i>Other funding sources</i>				
Total				

Cost sharing and other funding sources (75 words max)

Budget allocations (AUD)				
<i>Under knowledge transfer, ensure allocations have been made to support active engagement in Water for Women Fund Knowledge and Learning (K&L) activities, including attendance at an initial Research Partnership Workshop, at least one regional learning event, and, for Type 2 grantees, includes participation in K&L Advisory group through virtual meetings)</i>				
	First year	Second year	Third year	Total
Researcher/s salary				
Field work costs				
Travel and related costs				
Insurances				
Knowledge transfer activities				
Capacity development activities				
Total DFAT Funds requested				
Justification of budget (250 words max)				

Section A.1.3.3: Past project sheets and referee information

Applicants may provide up to three past project sheets (within the last 10 years), including two referees for each (maximum 1 page each).

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.	

Section A.1.3.4: Organisation's Certification

Applicants **must** attach a completed and signed Organisation's Certification in the format below

Organisation's Certification
<ul style="list-style-type: none">• I hold the position of (<i>insert position title</i>) 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.• I have read the information provided in the WASH Research Awards Guidelines, including any addenda issued.• The statements in this proposal are true to the best of my knowledge• 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, The Fund Coordinator will reject at any time any proposal lodged by or on behalf of the Organisation.• 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.• 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 DFATs Child Protection Policy.• I warrant that the Organisation has not received grant funding for this Activity from another source other than that declared in Section 3.2 of this proposal.
Signature:
Name in Full:
Position in Organisation:
Date:

A.1.4: Terms and Conditions

Section A.1.4.1: Lodgement of Proposals

- 4.1.1 Proposals **must** be lodged in accordance with the procedures set out in Section 1.2 of **Attachment A** and prior to the closing time specified in Section 1.2 of **Attachment A** ("Closing Time").
- 4.1.2 Subject to Clause 4.3 (Late Submissions) below, the Fund Coordinator will reject any proposal that is not submitted in accordance with Section 1.2 of **Attachment A**.
- 4.1.3 Applicants must include all information required in this Invitation in their proposal.

- 4.1.4 The proposal and any additional documents submitted with the proposal must be in English.
- 4.1.5 A person or persons with authority to lodge the proposal on behalf of the applicant must complete, sign and submit the Organisation's Certification provided in **Section 1.3.4** of this Invitation. For consortia, a Certification must be completed and signed for each partner in the consortium. The Fund Coordinator may reject an applicant's proposal if it does not submit the Organisation's Certification(s).

Section A.1.4.2: Enquiries

- 4.2.1 Any enquiries that you may have concerning this Invitation *must* be submitted in writing to the Contact Person in **Section 1.2 of Attachment A** as soon as possible and not later than 14 days prior to the Closing Time.
- 4.2.2 The Selection Panel will respond to any enquiries no later than 8 days prior to the Closing Time.
- 4.2.3 The Fund Coordinator will publish answers to enquiries on the Water for Women for Women and DFAT websites (without identifying the organisations that submitted the enquiries).
- 4.2.4 The Fund Coordinator recommends that, up until the Closing Time, organisations check the Water for Women DFAT website regularly for updates.

Section A.1.4.3: Late Submissions

- 4.3.1 Proposals that are submitted after the Closing Time will not be evaluated.
- 4.3.2 The judgement of the Fund Coordinator as to the time a proposal was submitted will be final.

Section A.1.4.4: Non-Conforming Proposal

- 4.4.1 Subject to **Clause 1.4.3 (Late submissions)**, proposals will be regarded as non-conforming if they fail to conform to one or more of the requirements of this Invitation.
- 4.4.2 The Fund Coordinator may seek clarification of non-conforming proposals.
- 4.4.3 Subject to **Clause 1.4.3 (Late submissions)**, the Fund Coordinator may, at its absolute discretion accept the proposal or not.

Attachment B: Sample Research Award Grant Agreement

[Note: this Annex includes a grant agreement that is based on the current standard DFAT Research Grant Agreement suitable for low-risk projects. However, an agreement will be developed between the Fund Coordinator and each Research Organisation, consistent with DFAT requirements. Hence this sample agreement should be understood to be indicative only.]

[Name]
[Recipient Entity] ('the Recipient')
[Address]

Dear [Name]

I am pleased to advise that Water for Women Fund Coordinator wishes to give your organisation (the Recipient) a grant to support it to implement the activity “[Insert Activity title]”, described in **Annex B** of this Sample Agreement to this letter. The details of the grant are set out in **Annex A** of this Sample Agreement. If the Recipient accepts the grant, it must comply with the terms and conditions set out in **Annex C** of this Sample Agreement.

Please read **Annex 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:

Mr Bill Pennington,
Knowledge and Learning Manager
Water for Women Fund Coordinator
GHD Office
Level 8, 180 Lonsdale St,
Melbourne, VIC 3000

Yours sincerely,

Dr Alison Baker
Fund Manager,
Water for Women Fund

[Month] [Year]

ACCEPTANCE OF GRANT

On behalf of the Recipient, I accept the grant offered by the Water for Women Fund Coordinator 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)

Drafting Note: Remove the table rows for tranches if your grant is being paid upon signing in total

ANNEX 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>The Fund Coordinator will pay the Recipient a Grant that is to be acquitted, 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>The Fund Coordinator 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>The Fund Coordinator 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 the Fund Coordinator and DFAT. • An output based payment terms will also be considered. 	
Recipient	[Insert name of the Recipient]	
Activity	The Activity described in Attachment B.	
Activity Start Date	[Insert]	
Activity End Date	[Insert]	
WfW Agreement No.	[Insert]	
Recipient Contact	Name: Postal Address: Street Address: Email: Facsimile:	
The Fund Coordinator Contact	Name: Postal Address: Street Address:	

	Email:
	Facsimile:

ANNEX B – ACTIVITY PROPOSAL AND BUDGET

[Insert or attach Activity proposal and budget received from the Recipient - Ensure that the budget amount matches the Grant amount in attachment A]

ANNEX 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 the Fund Coordinator an invoice requesting payment of the Grant which includes the Grant Details and the name of the Activity.
- 2.2. 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 the Fund Coordinator 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 the Fund Coordinator and DFAT if it discovers any link between the Recipient or the Activity and organisations or individuals associated with terrorism.
 - k) If required by the Fund Coordinator or DFAT, permit the Fund Coordinator to monitor and/or evaluate the Activity and/or the use of the Grant.
 - l) If required by the Fund Coordinator or DFAT, permit the Fund Coordinator 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 the Fund Coordinator 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 the Fund Coordinator to do so and at no cost to the Fund Coordinator, 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 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 the Fund Coordinator.
 - b) Dispose of or write-off assets purchased with the Grant except as approved by the Fund Coordinator.
 - 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 the Fund Coordinator'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 the Fund Coordinator and 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 the Fund Coordinator and 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 the Fund Coordinator, reimburse to the Fund Coordinator any part of the Contribution misappropriated through Fraudulent Activities; and
 - d) keep the Fund Coordinator 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. The Recipient must report six monthly on progress made during the previous six monthly period, including an acquittal of expenses to date. On an annual basis, the Recipient will be prepare an Annual Report and Annual Plan, including an acquittal of funds expended over the full year.
- 6.2. Within thirty (30) days after the Activity End Date, the Recipient must send to the Fund Coordinator 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
- 6.3. an acquittal statement which:
 - a) explains how the Recipient spent the Grant;
 - b) confirms that the Recipient spent the Grant in accordance with

- c) 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
- 6.4. If the Recipient has not spent any part of the Grant, it must return the unspent funds to the Fund Coordinator with the acquittal statement.

7. INTELLECTUAL PROPERTY

- 7.1. The Recipient will own any intellectual property in material created by the Activity but grants the Fund Coordinator and DFAT an irrevocable, non-exclusive, world-wide, royalty-free licence to use the material for any purpose.

8. TERMINATION

- 8.1. The Fund Coordinator may immediately terminate this Agreement by giving the Recipient a notice in writing if the Recipient:
- d) Becomes, or in the opinion of the Fund Coordinator may become, bankrupt, insolvent, deregistered or no longer able to undertake the Activity to a standard acceptable to the Fund Coordinator and DFAT.
 - e) Fails to commence or, in the opinion of the Fund Coordinator, 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 the Fund Coordinator to remedy the failure.
 - f) Breaches a term of this Agreement and does not remedy the breach within the time stipulated in a written request from the Fund Coordinator to remedy the breach.
 - g) 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. The Fund Coordinator 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 The Fund

Coordinator an acquittal statement (see clause 6.2) and return to the Fund Coordinator 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 the Fund Coordinator to support the Recipient is not used to provide assistance to, or otherwise support, terrorists or terrorist organisations, and will inform the Fund Coordinator immediately if, during the course of this agreement, the Recipient determines that any such funds have been so used.

10. ANTI-CORRUPTION

- 10.1. The Fund Coordinator, 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 the Fund Coordinator of any suspected or detected corruption or bribery affecting programs funded by DFAT through the Fund Coordinator 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 [DFAT's Child Protection Policy](#).
- 11.2. The Fund Coordinator 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. PERFORMANCE STANDARDS

- 13.1. Where delivering the Goods/ and or Services, the Grant Recipient must at all times meet the performance standards outlined in this Clause 13.
- 13.2. Where this agreement is for Services they must be performed:
 - a) With due skill, care and diligence;
 - b) To a professional standard and in a timely manner; and
 - c) In the most cost-effective manner and using suitable materials.
- 13.3. When this agreement is for Goods the Recipient must:
 - a) Be reasonably fit for purpose;
 - b) Be provided in compliance with all relevant Australian standards (if not apply, international) and Partner Country industry standards, best practice, guidelines and codes or practice;
 - c) Ensure any product resulting from the Goods will be of such a nature and quality, state or condition, that they can be reasonably expected to achieve their intended result;
 - d) Be provided in a way that demonstrates the Recipient has sought to improve the quality, effectiveness and efficiency of the Goods at every opportunity; and
 - e) Where for construction, be provided in accordance with the design brief and/or functionality requirements, and using new materials unless otherwise specified.
- 13.4. The Recipient acknowledges and agrees that the Fund Coordinator and/or DFAT may issue in relation to this grant agreement a:
 - a) Partner performance assessment
 - b) An Adviser performance assessment
 - c) Sub-contractor performance assessment
- 13.5. Performance assessments will be substantially in accordance with the Partner Performance Assessments and Adviser Performance Assessments in Attachment 8. Within 15 days of receiving a performance assessment from the Fund Coordinator, the Recipient

must:

- a) Sign and return to the Fund Coordinator the Partner Performance Assessment or any other performance assessments together with any responses from the Recipient, their sub-contractors or personnel.

Performance assessment templates are provided in Attachment H.

14. GENERAL

- 14.1. This Agreement commences when the Fund Coordinator receives the Recipient's signed confirmation of its acceptance of the Grant and continues until the parties have fulfilled all of their obligations.
- 14.2. DFAT must send notices to the Recipient Contact in the Grant Details.
- 14.3. The Recipient must send notices to the Fund Coordinator Contact in the Grant Details.
- 14.4. This Agreement may be amended by a Deed of Amendment signed by the Fund Coordinator and the Recipient.
- 14.5. The Recipient must establish and maintain appropriate insurances for the duration of the Agreement which may include:
 - a) Adequate medical and dental insurance for Personnel who are engaged to operate outside their country of permanent residence;
 - b) Adequate insurance for medical evacuation;
 - c) Public liability insurance;
 - d) Worker's Compensation where required by law; and
 - e) Professional indemnity insurance where required which is adequate to cover any claims arising from WfW activities by the Recipient.
- 14.6. This Agreement is governed by the law of the Australian Capital Territory, Australia.

Attachment C: Research Component (WASH Research Awards)

Analysis and strategic context

Global and regional research needs

At a global level, evidence to guide improvements in water, sanitation and hygiene (WASH) exists in some areas and is lacking in others. The sector has a robust global monitoring system led by WHO and UNICEF,¹ that has evolved and adapted to the changing international landscape of the Sustainable Development Goals (SDGs) and the Human Rights to Water and Sanitation. The UN Water Global Assessment and Analysis of Sanitation and Water (GLAAS), implemented by WHO, also provides insight into key sector bottlenecks at country level.²

Various research initiatives have informed sector thinking globally and regionally, demonstrating how strategic research can inform policy and practice. These include significant work funded by DfID, Gates Foundation, SIDA and DFAT, including WASH-related cost-benefit analysis,³ WASHCost on the life cycle costs, Triple-S in terms of addressing ‘sustainability’ of WASH outcomes,⁴ the CLTS Knowledge Hub on community-led sanitation,⁵ REACH on water security,⁶ Enterprise in WASH⁷ and Sanitation Market Exchanges⁸ on small-scale enterprise roles, health and hygiene behaviour change research,⁹ and research on urban sanitation challenges in low-income communities.¹⁰

These efforts represent only a small proportion of the areas that require better evidence to underpin decision-making by policy makers and practitioners in addressing SDG 6. The Sanitation and Water for All (SWA) global advocacy partnership has recognised this gap. With ‘evidence-based decision making’ as one of its three key global priorities, SWA constituents have been developing a global research agenda that is responsive to current needs.¹¹ This research agenda has identified nine key areas including better evidence on: (i) managing untreated wastewater and faecal sludge (ii) ending open defecation (iii) addressing inequalities among sub-populations (iv) achieving universal access (v) building national capacity (vi) improving levels of service (vii) strengthening local community participation (viii) financing, and (ix) ecosystem sustainability and resource conservation.¹²

Research on WASH in the Asia-Pacific is less developed than other regions such as Africa, which has been supported by various European donors.¹³ Recent ‘evidence gap maps’

¹ <https://www.wssinfo.org/>

² http://www.who.int/water_sanitation_health/glaas/en/

³ http://www.who.int/water_sanitation_health/publications/2012/globalcosts.pdf

⁴ <http://www.ircwash.org/wash-tools>

⁵ <http://www.communityledtotalsanitation.org/page/clts-knowledge-hub-strengthening-and-broadening-clts-scale>

⁶ <http://reachwater.org.uk/>

⁷ <http://enterpriseinwash.info/>

⁸ <http://www.watercentre.org/portfolio/pacific-wash-marketing>

⁹ <http://ehg.lshtm.ac.uk/wash/> and <http://waterinstitute.unc.edu/research/>

¹⁰ <http://communitysanitationgovernance.info/>; <http://www.wsup.com/programme/what-we-do/research/>;

<http://www.gatesfoundation.org/What-We-Do/Global-Development/Water-Sanitation-and-Hygiene>

¹¹ <http://sanitationandwaterforall.org/priority-areas/>

¹² [Draft] Research Priorities under Sustainable Development Goal 6 and Research and Learning Challenges among Global Partners of Sanitation and Water for All (SWA) Prepared by: Karen Setty and SWA Research and Learning Partners

¹³ See, for example the global spread of rigorous evidence on private sector roles in WASH in a recent review, showing dominance of Africa focused rigorous research, http://enterpriseinwash.info/wp-content/uploads/2016/06/ISF-UTS_2013_Working-Paper-1-Systematic-Review.pdf

developed through systematic reviews conducted by the International Initiative for Impact Evaluation demonstrate a much smaller number of studies linking WASH with health and non-health impacts in the Asia-Pacific as compared with other regions.¹⁴

Global research focused on links between gender and social inclusion and WASH is limited. There are emergent areas of evidence in menstrual hygiene management,¹⁵ women's leadership,¹⁶ maternal health,¹⁷ links to violence and safety,¹⁸ and women's psychosocial stress related to lack of access to facilities.¹⁹ Few studies in these areas exist in Asia-Pacific, however there are some initial studies underway on menstrual hygiene issues in the Pacific²⁰ and Indonesia.²¹ Women's economic empowerment through the water-related workforce is limited, and studies on small-scale enterprises have revealed women's under-representation amongst WASH-related enterprises,²² however both areas are under-researched. Research on gender and social inclusion within the broader WRM sector in the Asia Pacific region is also an undeveloped area of importance given the inter-relationships between WASH and WRM. Overall, a significant research gap remains to inform efforts to address gender and socially inclusive WASH, in both policy and in practice.

DFAT support to research in WASH

Research is a key pathway in the aid program to catalyse and inform innovation, and to provide evidence for policy-making and program delivery. Investment in research also facilitates access to diverse partnerships (both with research organisations and their extended networks with government, private sector and civil society in partner countries). As such, research can make a significant contribution to Australia's aid policy²³ and wider diplomatic efforts and engagement. Past efforts in the form of the 2012 Research Strategy²⁴ and design of the Australian Development Research Award Scheme (ADRAS) developed significant knowledge and experience on effective approaches to funding development research,²⁵ and recent study demonstrates outcomes and impacts achieved.²⁶

DFAT has invested in research in WASH in Asia-Pacific to support improved policy and practice, various analytical tools and resources and to contribute to the global knowledge base for WASH. In 2008, research was commissioned that provided an evidence-base to inform design of the first CS WASH Fund (2009-2011).²⁷ DFAT also funded three WASH

¹⁴ <http://gapmaps.3ieimpact.org/evidence-maps/water-sanitation-and-hygiene-evidence-gap-map>

¹⁵ <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3637379/>

¹⁶ www.genderinpacificwash.info

¹⁷ <http://onlinelibrary.wiley.com/doi/10.1111/tmi.12275/abstract>

¹⁸ <http://violence-wash.lboro.ac.uk/>

¹⁹ <http://journals.plos.org/plosone/article?id=10.1371/journal.pone.0141883>

²⁰ https://www.burnet.edu.au/projects/282_the_last_taboo_formative_research_to_inform_menstrual_hygiene_management_interventions_in_the_pacific

²¹ https://www.burnet.edu.au/projects/221_menstrual_hygiene_management_in_indonesia_understanding_practices_determinants_and_impacts_among_adolescent_school_girls

²² www.enterpriseinwash.info

²³ <http://dfat.gov.au/about-us/publications/Documents/australian-aid-development-policy.pdf>

²⁴ <http://dfat.gov.au/about-us/publications/Documents/research-strategy-2012-16.pdf>

²⁵ <http://dfat.gov.au/aid/topics/development-issues/research/Pages/australian-development-research-awards-scheme.aspx>

²⁶ Muirhead 2017 Impacts of ADRAS grants, Research for Development Impact Network, June 2017 (forthcoming)

²⁷ International WaterCentre and the Institute for Sustainable Futures, *NGO Partnerships and Capacity Building in the Water, Sanitation and Hygiene Sector* (2008), Part 1 and 2

research grants (totalling AUD650,000) as part of the Australian Development Research Award Scheme (ADRAS) in 2009-2011, and made a further significant AUD6.3m investment in 2012 in six ADRAS grants. These grants were selected on a competitive basis and the intent was to contribute to a stronger sector evidence base and contribute to Australia's leadership role in the WASH sector globally.

These investments in research have provided international profile for DFAT at international events (for example, Stockholm World Water Week, WEDC Conferences, UNC conferences, FSM conferences). These grants have also made major contributions to the main program and training sessions at the DFAT-hosted global WASH conferences (2008, 2011, 2014 and 2016), the latest of which attracted over 400 people from 47 countries.²⁸ Other outcomes have included uptake and use of research findings to influence policy and practice (see **Attachment 4** for examples).

Lessons in investing in research

Lessons learned for ADRAS grants, including those focused on WASH, address how to best support achievement of research impact, to promote effective research capacity building processes, and support ethical and effective research partnerships.²⁹ These lessons are elaborated further below and have been incorporated into the design of the WASH Research Awards (WRAs).

Achieving research impact

A key consideration in investing in WRAs is to ensure this research has development impact, and that researchers explicitly plan for this in their research design, since this has only been done to a variable degree in research funded to date.³⁰

Development impact (in terms of socio-economic outcomes) from research is generally enabled by policy and practice changes amongst relevant country stakeholders. A common framework for understanding types of policy and practice includes three types impact:³¹

- (i) instrumental – influencing policy, practice or service provision, shaping legislation, altering behaviour
- (ii) conceptual – contributing to the understanding of policy issues, reframing debates
- (iii) capacity building – through technical and personal skill development.

Numerous evaluations and studies have examined strategies to facilitate impact, and these suggest that the following five factors are important³² and which have therefore been given consideration in design of WRAs:

- *Demand for evidence*: Research that meets the needs of end-users

²⁸ <http://dfat.gov.au/about-us/publications/Documents/aid-fact-sheet-water-for-development.pdf>

²⁹ Muirhead 2017 Impacts of ADRAS grants, Research for Development Impact Network, April 2017 (forthcoming)

³⁰ Muirhead 2017 Impacts of ADRAS grants, Research for Development Impact Network, April 2017 (forthcoming)

³¹ ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research

³² See DfID 2014 What is the evidence on the impact of research on international development? A DfID literature review

- *Collaboration and engagement*: Research processes that engage with users throughout the life of the project, or that involve users as part of research teams in co-production of knowledge
- *Planning for communications and engagement*: Intentionally planning these aspects from the beginning of a project, ensuring clarity on the part of researchers about who will use the research and for what purpose, how outputs will be tailored for and made accessible to different audiences
- *Conceptualising pathways to impact*: Clarity on who will benefit from the research, how they will benefit and what will be done to ensure they have the opportunity to benefit from this research
- *Monitoring and evaluating uptake*: including design of research uptake objectives, their reflection in the approach, their monitoring and adaptation

Research capacity development

Building local research capacity is another pathway to foster outcomes and impact from development research investments. This includes technical and personal skills development for in-country researchers, including development of critical thinking capacity.³³ Approaches to maximise effectiveness of research capacity building include:³⁴

- Understanding existing capacity and motivations, priorities, and developing local ownership of capacity building
- Ensuring skills to facilitate learning and capacity building exist in the research team
- Considering how any individual capacity development sits within a wider context and relevant organisational engagement (for example viable career structures to use new skills)
- Ideally facilitate long-term engagement and partnership
- Monitor and evaluate to check if capacity is indeed 'being built' and adapt plans as needed.

Research partnership

Research partnerships of multiple types will be important to the success and effectiveness of the WRAs. Several types of research partners will be relevant, including: (i) between academics and CSOs and (ii) between Australia/international research organisations and in-country research organisations or researchers. Other partnerships, for example, with government, civil society or private sector counterparts are also critical to ensuring collaborative approaches and subsequent impact.

³³ Many studies demonstrate the importance of development of critical thinking skills, which in international comparative studies are found to be low in low-income countries due to rote-learning or teacher centric teaching. In addition, research skills such as seeking and finding information and problem solving which are key components of the human capital needed to drive socio-economic development. ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research

³⁴ DfID 2014 What is the evidence on the impact of research on international development? A DfID literature review

Recent review of academic-CSO partnerships reveals a range of benefits and challenges.³⁵ Benefits for CSOs included associated analytical skills development, recognition of multiple perspectives on development challenges and development of credible evidence to support advocacy and programming. Enablers of effective partnerships included investing time in building trustful relationships, regular shared debriefing of reflections and lessons learned and developing a shared communications plan at the outset. Challenges included staff turnover in relevant organisations, varied quality in data collection and associated skills/capacity development, cross-cultural communication issues, and shaping of outputs to be directly useful and useable to CSOs.

A key issue in research partnerships across developed and developing countries concerns mutually beneficial engagement, avoiding reduction of in-country partner roles to data collection and instead, developing equitable, effective research partnerships with shared work based on common interests and agendas.³⁶

Investment description

Summary

The investment of AUD10.6 million in WRAs is intended to support high-quality research to provide a strengthened evidence base for WASH policy and practice in Asia-Pacific. The investment in research will also support the wider investment of the Water for Women Fund in civil society organisations with relevant evidence and research practice, contributing to the public profile and reputation of work undertaken, as well as enhancing the evidence base on what works. The WRAs will support Australia to continue to play a sector leadership role regionally, and globally, through recognition for world-class quality research and evidence. The WRAs will also build research expertise in WASH in the region through engagement of in-country research organisations, and contribute to partner country capacity to address WASH issues and use evidence in policy and practice. In line with the wider Fund, all research will be expected to use gender and inclusive research *processes*, as appropriate to the topic.

The expected partners will be Australian and international research organisations, working with research institutions in Asian and Pacific countries. For research linked with Water for Women implementation, research organisations will also partner with civil society organisations (CSOs), particularly, but not limited to, those CSOs with grants under the Fund. The scope includes countries across South Asia, South-East Asia and Pacific. The types of research funded will be applied research, including interdisciplinary and transdisciplinary research³⁷ that seeks to address key questions arising in policy and practice.

The management approach will be streamlined and integrated with the overall management structure for Water for Women. The Knowledge & Learning Manager (KALM) will have oversight of the research grant management, with additional administrative assistance. A Research Steering Group (RSG) will provide a means for strategic engagement between

³⁵ See <https://rdinetwork.org.au/wp-content/uploads/2017/01/research-partnerships-l-d-note-feb-2015.pdf>

³⁶ Gilles Carbonnier and Tiina Kontinen 2014 North-South Research Partnership Academia Meets Development? EADI Policy Paper Series

³⁷ It is expected that the research may span social, technical, environmental and economic fields.

DFAT, the Fund Coordinator and participating research organisations. Structured linkages to the Knowledge and Learning (K&L) component have been designed, to ensure integration with other parts of the Fund and maximise research dissemination and engagement. The GESI and WASH specialists may have input to the research during the inception phase as relevant, for instance to ensure gender and inclusive research processes are appropriately incorporated.

Expected outcomes

As a research component within the wider Fund, the WRAs are expected to deliver outcomes aligned with those of the overall Fund. The WRAs represent one pathway through the wider Fund’s theory of change, with a focus on Outcome 4 (‘Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors’) (see Figure 1).

This outcome will be achieved through targeted research on both: (i) addressing critical regional WASH research gaps (ii) research linked with CSO implementation and outcomes of the Water for Women Fund. Researchers will be expected to engage strongly and ethically with end-users (who may be CSOs, or other national and international actors) during the research process. This will enable sector actors to influence research questions and agendas, and in doing so, facilitate uptake of new evidence. All research will be expected to be gender and socially inclusive in its *process* (as appropriate to the topic).³⁸

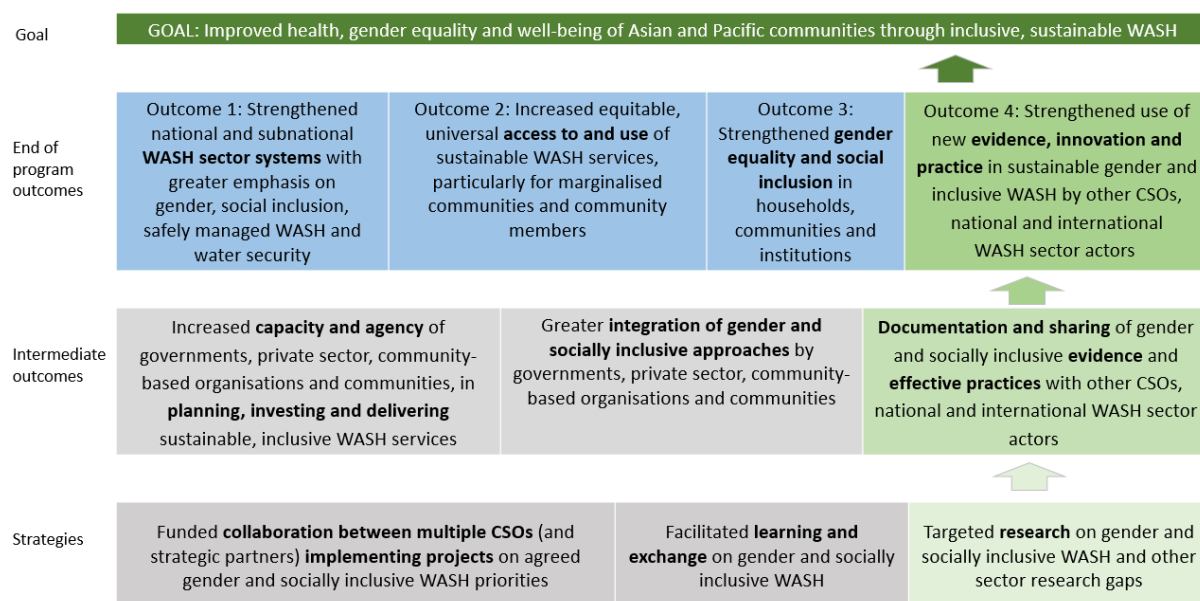


Figure 1: Theory of change for WRA (in green) in relation to the wider Water for Women Fund

The assumptions in this theory of change are many. In particular, it should be cautioned that translation of research into changes in policy and practice *takes time*, and expectations should therefore remain realistic. It is more likely that the ‘preconditions’ for such changes in

³⁸ It is acknowledged that some forms of research, for instance, technically focused research may present more limited scope to address gender and social inclusion, however all possible associated links should be considered.

policy and practice can be assessed during the lifetime of the funding, including *uptake and use*, rather than the results thereof. Other assumptions include:

- That it is possible to conduct high-quality, ethical and inclusive research of appropriate depth and breadth when working in low-resource, complex environments, and where in-country research capacity is typically low or variable
- That demand for and supply of research evidence can be suitably matched, when both take place in evolving and changeable contexts
- That researchers share motivations to ensure research uptake, use and impact, and are not only focused on knowledge generation and narrow measures of research excellence
- That research partnerships between different types of organisations, including CSOs, can be successfully integrated with or run alongside implementation practice
- That CSOs, national and international actors have an interest in engaging with new evidence and/or research processes, and relevant drivers, incentives and capacity to integrate and use the findings in their policy and practice

Geographic and sectoral scope

The geographic scope of the WRAs will be developing countries in the Asian and Pacific regions. The research focus will be on the following sectoral priorities, identified through an extensive consultation process. Examples are indicative only and proposals under each of the five priorities do not need to be limited to these examples:

1. Gender and social inclusion and WASH (*for example, including areas of intersection such as menstrual hygiene, women's leadership or women's economic empowerment in relation to WASH, violence and safety and WASH, disability and WASH, maternal health and health facilities or a wide range of other topics*)
2. Safely managed water and safely managed sanitation and hygiene (both urban and rural contexts) (*for example, including beyond ODF, progression to safely managed drinking water supply, innovations in technology and process to achieve safe standards, effectiveness of and innovation in hygiene behaviour approaches etc.*)
3. Achieving SDG6 – integration of water resources management (WRM) and WASH, disaster risk reduction (DRR) and WASH, climate change adaptation (CCA) and WASH, water security (*for example, including vulnerability and resilience, water scarcity, water allocation and decision-making, risk-based approaches, climate preparedness etc.*)
4. Strengthening sector systems (*for example, including planning, monitoring, governance, coordination, financing, service delivery models, sustainability outcomes, political economy, government, private sector and community roles at national and subnational levels*)
5. Cross-sectoral WASH and its impacts: particularly health, nutrition, food security and education (*for example, health and non-health impacts of WASH, links and synergies between WASH and nutrition, links between menstrual hygiene and school absenteeism etc.*)

Delivery approach

Partners

The WRAs will be offered on a competitive basis to research organisations (or organisations that have research as a core component of the organisation's mandate). The aim is to secure high-quality research by staff with the necessary qualifications and demonstrated skills to conduct rigorous, ethical and culturally appropriate, world-class research. Administering organisations must have access to a recognised Ethical Review process. Research organisations would be expected to partner with in-country research partners, and for research connected with Water for Women implementation, also with CSOs. The selection process will emphasise selection of organisations with strong relationships and profile in the relevant country contexts, since this is considered a key factor in research attaining impact.³⁹ A draft grant agreement is provided in **Attachment 2**.

Types of research

The types of research funded will be *applied research*, including interdisciplinary and transdisciplinary research that seeks to address key questions arising in policy and practice.⁴⁰ The research approach will be expected to be fit-for-purpose depending on the research questions addressed, and may consist of targeted quantitative, qualitative or mixed method studies; action research; operational research; policy research; longitudinal studies or other approaches. All research will be expected to be gender sensitive and inclusive in its processes.

Two research project types will be funded, seeking a roughly even balance between the two types, noting that *all* research will be expected to be gender and inclusive in its processes:

(i) (Type 1) Research that addresses **key regional research gaps** in Asia-Pacific. This type will comprise future-looking research answering broad sector questions or examining emerging challenges and trends in the sector. It includes research that can serve the needs of various WASH actors in the region, including end-users such as partner governments at national or subnational level, DFAT and other donors, CSOs or other international agencies and sector stakeholders.

(ii) Type 2 Research that is **closely linked with CSO implementation** related to the outcomes of Water for Women's Theory of Change. This research may include action research, specific studies answering CSO-relevant questions, or evidence to assist with adapting and evolving approaches from one context to another. An explicit partnership with one or more CSO is a requirement for this category of research. The research should inform sector learning, and be of benefit to more than one CSO.

³⁹ This study demonstrated that 93% of impact-achieving grants had prior relationships with the stakeholders in place. ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research, p6

⁴⁰ This may include both studies to explore 'what works and why' as well as 'to better understand the world/context', and may include research on products or technologies though this is unlikely to be a central focus. These constitute three types of research described in ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research. Since WASH crosses disciplinary boundaries, it is likely that social, institutional, technical, environmental and economic dimensions may be relevant, depending on the topic.

For Type 2 awards, it is expected that research organisations and relevant partner CSOs will negotiate appropriate roles and involvement of CSOs on mutually beneficial and agreeable terms, taking a partnership approach. The arrangement may vary depending on the nature of the research, the interest of the CSO in different aspects of research (e.g. in skill development, in stakeholder engagement around the research, in only the final research findings), availability of CSO staff to be involved in the research or other factors.

DFAT engagement

DFAT Water, Sanitation and Hygiene (WSH) Section will seek to ensure that knowledge and evidence developed through the WRAs is actively shared with, and informs DFAT staff and any relevant policy development and programming.

Value for money

A competitive grants process managed by DFAT followed by grant administration by the Fund Coordinator, was determined to provide the greatest value-for-money. It will also support integration with the wider Fund. Other options considered were a separate investment managed by a research institution, or delivery through existing technical services arrangements (for instance, the Specialist Health Services contract). The former was deemed to create a conflict of interest as regards any lead research institution, and the latter found not to be suitable for research grant funding. Strategic level engagement between a Research Steering Group (RSG) is expected to facilitate a partnership between DFAT and grantees and on-going focus on maximising outcomes. A competitive grants process encourages competition, supports alignment to key policy objectives and provides assurance of value-for-money by testing the market.

Resources

The overall budget for this component is \$10.6 million over five years. Of this, about \$800,000 is expected to be allocated for management and oversight by the Fund Coordinator, approximately \$9.3 million to research grants and \$500,000 to 'Impact Maximisation' extension grants.⁴¹

The selection process for the WRAs will be through a competitive grant process open to research organisations (or organisations with research as a core component of their mandate). There will be two calls for proposals for research funding: the first round of applications will be to address Type 2 research awards. A call for proposals for the Type 1 research awards will be conducted once the CSOs have developed their project designs and have commenced implementation. Grant proposals will include how grant funding will be allocated to achieve the outcomes sought by DFAT, and identify co-funding and/or co-contribution from applicants.

Management of the research grants will be integrated with the management of the wider Fund, with the grant agreements held by the Fund Coordinator. DFAT staff in relevant posts

⁴¹ These grants are designed to assist with uptake, use and subsequent outcomes and impact of research. They are used by DfID and other donors to promote follow-through on high-performing grants to support and monitor their outcomes and impact, based on a recognition that without such resourcing, this follow-up is difficult to achieve.

will be updated on progress and both researchers and DFAT posts will be encouraged to engage meaningfully with research that relates to DFAT country programming.

Implementation arrangements

Approaches and principles for implementation and delivery

To maximise the impact and relevance of the research conducted, the following principles for implementation and delivery will be adhered to in the selection and grant management processes:

- Strong emphasis on seeking research impact
- Adherence to research excellence and quality, including use of culturally sensitive, ethical, gender and socially inclusive research processes
- Active involvement of, and mutual exchange with, in-country research partners
- Active involvement of end-users, including DFAT
- Support to research capacity development, both in-country and early career researchers
- Robust approach to communication and engagement
- Sound partnership management and engagement
- Rigorous approach to performance assessment

Following a competitive selection process, an inception phase will be supported. This inception phase is designed to support co-development and co-design of the research process between partners. It will also allow time to facilitate strengthened linkages with CSO implementation under Water for Women and/or other DFAT programs in relevant countries.

Governance and management arrangements

The governance arrangements will replicate those developed for the CSO project implementation, in that a partnership approach will contribute to maximising the effectiveness of the investment. Given the smaller size of the research component compared with the CSO projects, the arrangements will be proportionally less intensive. A **Research Steering Group** (RSG) will maintain strategic oversight over the Research Component. This group will comprise DFAT Chair, Fund Coordinator and a lead representative from each research grantee. This group will meet via telecom/webinar every 6-9 months. The role of this group will be to, at a strategic level, monitor the achievement of agreed outcomes of the Research Component, discuss ways to maximise its effectiveness and any changes in research grant management or the performance assessment approach. The RSG may at times communicate directly with the FSG (or meet at a common time), however communication is likely to primarily be through the Fund Coordinator.

The KALM of the Fund Coordinator will undertake **grant management**, drawing on administrative support as needed. This will include negotiating agreements, undertaking performance management (in terms of delivery against the agreed workplan) and facilitating links to K&L Component. Progress reporting will be based on the performance assessment framework for the Research component (see below).

Structured linkages to the **Knowledge & Learning Component** have been designed to support mutual learning and integration of research findings into the broader Fund. Representatives from funded research organisations for Type 2 Awards will be expected to

participate in the **Knowledge and Learning Advisory Group (K&L Advisory Group)**, play active roles in Fund learning events as well as contribute to other Fund-level K&L activities. Recipients of Type 1 awards (see below for explanation of types of awards) would be expected to participate in Fund K&L activities as relevant and requested.

Selection process and criteria and process

As indicated above, two competitive funding rounds will be conducted, with eligible applications assessed against the nominated selection criteria. These criteria include both organisational (or consortia) criteria as well as research project-related criteria. This approach is considered to be efficient, cost-effective and to maintain rigour, equity and accountability. Additional funding rounds or a two-stage process (involving Expression of Interest followed by full proposal) were considered, however were discounted due to the resource-intensiveness of the process, and following the lessons learned in administering the ADRAS research grants from 2007 to 2016.

Eligible organisations will include both Australian and international research organisations (or organisations with research as a core component of their mandate) with access to Ethical Approval processes.

The grant size will be AUD100-400K annually for up to 3 years.⁴² This range is expected to both support smaller, targeted research activities as well as larger longer-term activities with broad scope and multiple partners to advance a particular research agenda.

Two types of research awards will be offered however this call for proposals is only focused on ii:

- (i) WASH sector research addressing key knowledge gaps (Type 1 award)
- (ii) Research closely linked to CSO implementation and outcomes of Water for Women Fund (Type 2 award)**

Both types of research will be required to use gender and socially inclusive research processes.

The process for selection will take place as follows:

- A **Research Selection Committee** will be formed with membership consisting of representatives from the Water for Women Fund Coordinator and DFAT, plus two external members. The external members will be specialists with broad expertise⁴³ in WASH-related research (social sciences and technical fields) and gender and socially inclusive research.
- All applications will be initially reviewed by the Research Selection Committee members against the assessment criteria and a shortlist of proposals for possible funding will be developed (through meeting virtually or face-to-face), with the Chair determining which projects are likely to be funded within the available total, given the highest scoring proposals, and identifying a limited number that may be

⁴² In extenuating circumstances, for instance for a longitudinal study, a maximum grant length of 4.5 years will be considered

⁴³ Since some topic may extend the boundaries of WASH (for instance links with other sectors) it is important that the experience of the RS Committee members is sufficiently broad.

included if any of the highest scoring proposals are deemed unsuitable or lower quality following peer review.

- Shortlisted applications for each type will then undergo external peer review by two independent peer reviewers. In parallel, comments on the applications will be sought from relevant DFAT sections and posts.
- Upon receiving the recommendations of the external peer reviewers, the Research Selection Committee will reconvene (virtually or face-to-face) and make final determinations, based on peer review findings, relevant internal DFAT feedback and the Research Selection Committee's own rankings.
- Applications will be assessed and ranked against the assessment criteria. Research Selection Committee recommendations will be based on the relative merit of the shortlisted application against the Funding Round assessment criteria and total funding available.
- Applicants will be notified by the Fund Coordinator of the Research Selection Committee's decision in writing, with successful applicants being listed on the DFAT and Water for Women websites.
- Clear and transparent mechanisms will be available throughout the assessment process for the Research Selection Committee members or peer reviewers to declare any existing or potential conflicts of interest.

An 'Impact Maximisation' extension grant will be made available on a competitive basis to high-performing research projects. This grant will support researchers and their partners to leverage research findings and relationships, undertaking follow-up activities that are expected to strengthen outcomes and impact of the research, and to monitor such results.

Implementation Plan

The selection process for the research organisations proposing Type 2 Awards will occur through December 2017 to April 2018. It is expected that full grant agreements will be signed with the Fund Coordinator by June 2018. Table 3-1 below summarises events and steps in the implementation process. Call for Proposals for Type 1 Awards will commence following completion of the CSO design process and during the initial stages of CSO implementation in order to confirm key gaps in knowledge. The specific timing of the Type 1 Research Awards will be discussed and determined by the Fund Steering Group (FSG).

Inception phase

The purpose of the inception phase is to support co-design of research with relevant partners and to facilitate strengthened linkages with the wider Water for Women Fund and/or other DFAT programs. The length of the inception phase will be variable, depending on the 'readiness' of the research organisation, however is not expected to exceed three months.

Research organisations will be supported⁴⁴ to undertake detailed research design including any necessary travel to promote effective participation of partners in the research design. For Type 2 awards associated with CSO implementation (), there will also be opportunity to

⁴⁴ Research organisations will be eligible for support of up to AUD50K for the inception phase (with research organisations to consider proportionality for smaller awards)

negotiate the details of relevant roles and engagement, and make adjustments based on the outcomes of the CSO project design process.⁴⁵

Table 3-1 Events and Timeframe for Research component

Event	Expected timeframe
Call for proposals	December 2017
Briefing for potential applicants	December 2017
Final date for submission enquiries	February 2018
Proposal deadline	February 2018
Independent peer review (two per shortlisted application)	March 2018
Selection Panel assessment of proposals for Type 2 awards	March 2018 – April 2018
Signing of WASH Research Award Agreements	May/June 2018
Research design process	May 2018 – June 2018
Approval of Joint Research and CEPI Plans	June 2018
Commencement of research implementation	July 2018
Projects completed	June 2021
Call for proposals for Type 1 Research Awards	To be decided during FSG meeting
Call for proposals for Research Impact Maximisation Grants	To be decided during FSG meeting
Proposal deadline	To be decided during FSG meeting
Extension of relevant Grant Agreements	TBA
Project commencement	TBA
Projects completed (Type 1 and Type 2)	By February 2022
Final acquittal	June 2022

Two documents will be produced during the inception phase (templates provided in Attachment 5):

- (i) Joint Research Plan (JRP)
- (ii) Communications, Engagement and Pathway to Impact Plan (CEPI Plan)

A research representative for each Award will participate in a Research Partnership Workshop (which will take place during the inception phase). This will include:

- Briefly sharing research concepts with other participants
- An initial meeting of the Research Steering Group, at which the group will collaboratively define its terms of reference and ways of working
- Contributing to plans for the K&L Component, and formulation of the K&L Advisory Group

Inputs may be made by the WASH and GESI specialists of the Fund Coordinator as regards their areas of expertise during the inception phase, including to ensure use of appropriate gender and inclusive research processes. A peer-appraisal process will be conducted by an external independent peer reviewer appointed by DFAT. Research organisations may also choose to peer-review each other's plans, on an opt-in basis.

⁴⁵ Since the WRA selection process and CSO project design process are broadly in parallel, it is possible that renegotiation of some aspects of the research grants may be required, depending on the outcomes of the CSO project design process. Research organisations are also able to partner with non-Fund CSOs, however it is preferable if they partner with Water for Women CSOs.

Implementation phase

Following approval of the JRP and CEPI plans, research implementation will commence. The implementation phase will then involve leadership by the research organisation administering their grants to carry out research activities. Formal ethical approval must be sought through a formally recognised Ethical Review Process, as well as any relevant country-specific ethics approval processes. This process can be usefully supported by application of the ACFID/RDI Network Principles and Guidelines for Ethical Research and Evaluation.⁴⁶ Research Progress reporting will be conducted on a 6-monthly basis, in line with the Performance Assessment Framework outlined below. The Fund Coordinator will be responsible for grant management, including performance management concerning delivery against agreed workplan.

During implementation, researchers will be expected to contribute to the Fund K&L Component. This will include each research organisation awarded a Type 2 grant providing a representative to contribute to the K&L Advisory Group, and active involvement to ensure proactive research communication with participants in the broader Fund.

Impact maximisation phase

The purpose of the 'Impact maximisation' grants is to provide sufficient resources to strengthen uptake, use, outcomes and impacts of funded research. These grants will be made available on a competitive basis to high-performing research projects. The Fund Coordinator will be responsible for the selection process for these grants, following the processes outlined in **Attachment 6**. The selection process will take place in late 2020, which will then allow a 1-year period for their implementation before completion by February 2022 and final acquittal before June 2022.

Roles and Responsibilities

DFAT WSH and DFAT Posts

DFAT WSH Section will provide oversight of the Research Component as part of Water for Women, coordinate with other DFAT sections and global partners and networks. Their role includes:

- Organisation of selection process and appraisal of plans at end of inception phase
- Facilitation of relationships and engagement with relevant DFAT posts during the call for proposals and research inception phase
- Strategic engagement with research organisations on progress and outcomes
- Chairing the RSG, and engaging with researchers and Fund coordinator staff in strategic oversight of this Research Component
- Oversight of the Fund Coordinator role in managing research grants
- Organising opportunity for researchers to share research and its findings as relevant to other sections within DFAT

Other DFAT policy and country program sections in Canberra will:

⁴⁶ <https://rdinetwork.org.au/resources/effective-and-ethical-research-and-evaluation/>

- Communicate relevant policy and programming information to the WSH Section
- Review and provide comment on research proposals in terms of relevance, alignment or complementarity with current bilateral, regional or other programs
- Promote and share relevant evidence and research findings with other stakeholders, as appropriate.

It is expected that DFAT's Posts will be:

- As relevant and possible, play roles to support linkage of researchers and their research with other country stakeholders toward to development outcomes in each country, consistent with Australian Aid Program objectives and priorities.

Fund Coordinator

The Fund Coordinator is expected to:

- Negotiate and administer grant agreements with research organisations
- Provide WASH and GESI inputs during Inception as appropriate and relevant
- Participate in the RSG meetings, including collaboratively preparing the agenda
- Undertake performance management (in terms of delivery against the agreed workplan) and facilitate links to the K&L Component, including promotion of research outputs and findings within and beyond Fund participants
- Receive 6-monthly progress reports and six-monthly financial acquittals from research organisations
- Synthesise relevant M&E information from the Research Component into broader Fund-wide M&E reporting
- Liaise with DFAT WSH and provide reports on progress of the Research Component implementation

The Fund Coordinator is not expected to provide review or quality assurance of research outputs, as this quality assurance is the responsibility of the implementing research organisations.

Selected research organisations

Research organisations are expected to:

- Participate in the strategic oversight of the Research Component through the RSG
- Participate in the inception phase and prepare high-quality joint plans
- Secure research ethics approval through a formal Ethical Review Process
- Implement research activities as planned, including maintaining respectful partnerships with relevant research partners (e.g. partner research organisations and/or CSOs), using gender and socially inclusive processes as relevant, and developing high-quality outputs using appropriate internal quality assurance processes
- Participate actively in the K&L Advisory Group (for Type 2 awards) and K&L activities
- Provide 6-monthly progress reports and annual financial acquittals
- Contribute to Fund-wide M&E systems
- Maintain good working relationships with partners, government officials and other relevant research stakeholders

- Maintain good working relationships with DFAT WSH and Posts
- Maintain good working relationships with and information flows to the Fund Coordinator
- Comply with laws in the countries where research is undertaken and DFAT policies and requirements relating to child protection, fraud, security and others (specified in research grant agreements)

Performance assessment

Performance assessment of the Research Component will be based on the following performance assessment framework, which links to relevant parts of the broader Fund-wide performance framework. Research organisations will be expected to report on progress and contributions to relevant outcomes using indicative reporting formats provided in **Attachment 5**. These may be amended during the Inception Period to better reflect the reporting needs of the Water for Women Fund.

Outcomes and processes	Research Component performance questions* and indicators
<p>Outcome 4: Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors</p>	<p>Q: In what ways have other CSOs, governments, or other organisations (within as well as beyond Fund participants) taken up and used evidence generated through the research? How has this informed, influenced or changed policy, practice and/or discourse and thinking? What factors have facilitated uptake and use of evidence?</p>
<p>Intermediate outcome: Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors</p>	<p>Q: What products have been created, events organised, training conducted or other processes supported for sharing inclusive research-generated evidence within and beyond the Fund, and with whom have they been shared (other CSOs, governments, and other national and/or international actors etc.) and for what purpose? Q: How have researchers contributed to Fund K&L activities and processes? I: Number of research team members participating in Fund-related webinars, e-discussions and forums I: Number of researcher-led events or initiatives held to share new evidence I: Number of externally focused information sharing products (e.g. reports, technical guides, guidance notes, policy notes, videos, synthesis of workshops) I: Numbers of peer-reviewed publications</p>
<p>Quality research engagement partnerships and networks</p>	<p>Q: How have end-users been involved in research design, implementation and communication? Q: To what extent have research activities and partnerships supported strengthened relationships and learning networks between Australian, international and partner country governments, CSOs and research organisations? How could this be improved? Q: How have mutual benefits from research partnerships been secured? What evidence suggests high levels of satisfaction on the part of different research partners? Q: How has the emphasis on gender and inclusive research processes affected research engagement, partnerships and networks?</p>
<p>Quality research capacity building</p>	<p>Q: How has the research project contributed to professional opportunities for in-country and early career researchers (particularly women), including in relation to gender and social inclusive approaches? Q: How has the research project helped develop attributes, skills and systems that increase quality and quantity of research conduct, uptake and use (particularly in the relevant country(ies), and including in relation to gender and inclusive research processes)?</p>
<p>Quality research management, processes and outputs</p>	<p>Q: In what ways were gender and socially inclusive research processes applied? What were enablers of good inclusive practice and challenges faced? Q: To what extent were the Joint Research Plan and Communication Engagement and Pathway to Impact Plans implemented (or evolved on a justifiable basis) in a timely manner and how was research quality ensured?</p>

Attachment D: DFAT funded WASH research

The following table shows past research supported by DFAT in WASH and briefly summarises some of the development outcomes achieved through this research, noting that several projects were recently completed and outcome-related information was not yet available.

Title	Description	Institution	Year	Outcomes
Crafting sustainability: addressing water pollution in Vietnam's craft villages	This research looked at how community-based approaches to water pollution in Vietnamese craft villages can successfully secure economic, social and environmentally sustainable water management.	Australian National University	2009–2011	This project worked with a key policy research agency in Vietnam to investigate key drivers for water pollution from craft villages. It reviewed policy options to address water pollution while sustaining social and economic outcomes from craft enterprises, particularly the potential role of community-based approaches.
Assessing the cost-effectiveness and sustainability of sanitation infrastructure options for peri-urban areas—a Case Study of Can Tho, Vietnam	This research investigated the relative cost effectiveness and sustainability of sanitation infrastructure options for unserved low-income peri-urban areas in Vietnam.	University of Technology, Sydney	2009–2010	Significant study in the Vietnamese context that legitimised decentralised sanitation options as economically feasible alternatives to expensive centralized sewer systems, informing subsequent major investments by Government of Vietnam and ADB. Winner of international IWA development research award.
Improving environmental and human health in the Pacific Islands through better onsite wastewater management	This research looked at the impact of wastewater pollution on both the ecosystem and human health, and how wastewater management (through a technology-eco-trench) can be improved.	Southern Cross University	2009–2011	The research tested new technology (EcoTrench) in Cook Islands. Based on the research, NZAID subsequently funded a \$3 million project that included scale up of EcoTrench in Cook Islands, Nauru and Tonga to reduce nutrient contamination in groundwater. The Cook Islands Government also significantly increased its installation efforts of improved septic tank treatment systems as a result of this research.
Making the invisible visible: documenting successes, enablers and measures of gender equality in water and sanitation initiatives in the Pacific (<i>funded under gender</i>)	This research investigated the gender outcomes associated with WASH programs implemented by civil society organisations in Vanuatu and Fiji using a strengths-based participatory research design.	University of Technology, Sydney	2009–2011	Contributed to greater recognition of gender aspects of WASH programming and potential to influence women's leadership using WASH as a strategic entry point, including within DFAT, amongst NGOs and other development agencies. Contributed to DFAT's adoption of aggregate development result (ADR) on women's participation in community-level committees.

Title	Description	Institution	Year	Outcomes
<i>equality priority theme)</i>				Guidance materials produced on supporting gender outcomes in WASH programming have been widely used and adopted by civil society organisations within and beyond the Pacific.
Community management of rural water supply systems	This research investigated functioning 'community managed' rural water schemes across India (a necessarily large sample size) in order to determine the extent of direct and indirect support required to sustain services with a valid level of community engagement. Location: India	Cranfield University	2013–16	This research project developed typologies of support to community management, documented 20 successful cases across India, and clarified the significant ongoing institutional support (and its costs) needed for community management to achieve reliable services. Engagement with officials from more than half the states in India through three exposure visits and a capacity building model aimed at national and State officials is expected to support uptake and use of the research so States can self-assess their rural water supply performance and identify points of improvement.
Civil society support for water and sanitation services for the poor	Research to strengthen the quality and impact of civil society organisation (CSO) work in facilitating private and social enterprise involvement to sustainable water and sanitation services for the poor. It also addressed how equitable outcomes—including gender equity—are best supported. Locations: Indonesia, Timor-Leste, Vietnam	University of Technology, Sydney	2013–16	Contributed to changes in civil society organisation practice, including in sanitation marketing approaches (to recognize limits of market-based approaches in remote areas and adopt complementary strategies) and in supporting water enterprises to achieve equitable outcomes. Contributed to modification of approaches by Indonesian Ministry of Health and Nusa Tenggara Timur Province for supporting sanitation enterprises based on improved understanding of entrepreneurial traits. Contributed to evolution of Government of Vietnam's approaches to attract private investment in water service provision and its regulation.
Supporting the demand for rural water and sanitation services in the Pacific	To increase understanding of rural water and sanitation markets and the demand for services in the Pacific region. The research findings will provide WASH sector stakeholders with documented guidance, advice and support on enabling sustainable, demand-driven water and sanitation services. Locations: Papua New Guinea, Vanuatu, Fiji, Solomon Islands	International Water Centre	2013–16	Demonstrated importance of informal, culturally determined, self-supported marketing-exchanges to support access to services in peri-urban and urban informal areas, which are not addressed through WASH policies in Melanesian Pacific Island Countries. However, these need broader support by enabling actors to move beyond expectations for a 'welfare approach', and instead empower self-determined action to address local challenges.

Title	Description	Institution	Year	Outcomes
Managing sanitation service delivery for poor urban areas	This research aimed to fill a critical gap in the governance (both day-to-day management and institutional arrangements) for decentralized (community-scale) sanitation service delivery. Location: Indonesia	University of Technology, Sydney	2013–16	Developed recognition of the critical need for improved management, regulations and performance monitoring of the 25,000 community-scale systems by local governments, leadership on this matter by Bappenas (National planning agency) and local NGO AKSANSI. Guidance materials to support localised decision-making on management approaches adopted and used by AKSANSI. Follow-up work supported through DFAT-funded Indonesia Infrastructure Facility demonstrated improved local government management of systems in two cities and changes required in Ministry of Public Works national program guidelines to support more sustainable outcomes.
Disability and its impact on safe hygiene and sanitation	This project aimed to fill knowledge gaps relating to water, sanitation and hygiene access, needs and barriers for people with disabilities. The research collaborated with key stakeholders and policymakers to develop effective mitigation strategies. Location: Bangladesh, Malawi	London School of Hygiene and Tropical Medicine	2013–16	Developed quantitative and qualitative tools to assess access to WASH for people living with a disability. Trialed an intervention to increase inclusion of people with disabilities within a sanitation project (CLTS) which demonstrated strong needs of implementers and householders to result in actual change in access to sanitation for these groups.
Climate change and water supply and sanitation on atolls and flood-prone catchments in the Pacific	This project developed a framework that will enable communities and water managers to navigate from understanding impacts of climate change to evaluating adaptation options for water supply and sanitation. The research produced tools to aid stakeholders throughout the Pacific in adapting to climate change. Locations: Solomon Islands, Marshall Islands, Vanuatu	International Water Centre	2013–16	<p>This project applied a systems approach to understanding WASH and climate change risks in rural communities in Pacific Island Countries, with two case studies: flood-prone catchments in the Solomon Islands, and drought-prone atolls in the Republic of the Marshall Islands.</p> <p>The research team worked with communities, governments and civil society groups to enhance understanding of existing WASH systems and adaptation approaches, and to develop tools to support adaptation decision-making for sustainable management of water resources and drinking water supplies in remote and rural communities.</p>

Attachment E: Indicative Reporting Templates

WASH Research Awards Reporting Templates

The template provided is indicative and will be refined during the inception phase in partnership with the Fund Coordinator, DFAT and the research organisations in order to meet the reporting requirements of the Fund and DFAT.

Section E.1: Six Monthly Progress Report/Annual Report and acquittal template

The following template should be used on a six monthly and annual basis and for the Final Report at the end of the grant. Notes/instructions may be deleted when responses are entered.

Agreement Number	
Project Title	
Administering Organisation	
Principal Investigator	
Total Australian Aid funding received during reporting year (AUD\$)	
Ethics approval status (please attach evidence of approval to this report)¹	

<p>1. What are the aims and objectives of the research? <i>Limit 150 words.</i></p> <ul style="list-style-type: none"> This may include both practical and higher order objectives. For example: <ul style="list-style-type: none"> To contribute new knowledge on a particular development issue To improve, contribute to or influence policy/program change To increase capacity of researchers, including those in developing countries, and other professionals to undertake inclusive research and use research findings.
<p>2. Please outline the progress made towards achieving the research objectives during the reporting period? Did your research progress as planned? If not, why not? <i>Limit 600 words.</i></p> <ul style="list-style-type: none"> Referring to your Joint Research Plan and relevant workplan, please detail key activities completed that are contributing to your objectives. Please indicate any issues that could affect the ability of the research team to meet the research objectives. For example: <ul style="list-style-type: none"> delays in the research process changes to the geographic focus/research objectives changes to research team personnel/local partners How will these issues be managed by the research team going forward? How did the research progress as regards the use of gender and inclusive aspects or processes?
<p>3. How is quality of research implementation being ensured, including with respect to use of gender and inclusive research processes?</p> <ul style="list-style-type: none"> In what ways were gender and socially inclusive research processes applied? What were enablers of good practice and challenges faced? How has research quality been ensured?
<p>4. What activities have been undertaken to engage key stakeholders or end-users in the research? <i>Limit 300 words</i></p> <ul style="list-style-type: none"> Referring to your Communications, Engagement and Pathway to Impact Plan, please provide information about the specific external people/groups you have engaged, how you have engaged with them and any results to date of this engagement Specifically, how have end-users been involved in research design (including gender and inclusion aspects), implementation and communication?

¹ If already provided in a previous report, state this in the table.

- Report *significant* engagement only i.e. where there was a substantive contribution to work, not just advice / participation in consultations or workshops
- Please use the following table to record this information (add rows as required)

External Individuals / Groups / Networks (research stakeholders and/or end-users)		
External Individual / Group / Network engaged ²	Duration of engagement ³	Nature and results to date of the engagement?

4. What knowledge outputs have resulted from the project so far? Please provide the copies of these outputs with this progress report.

- Document original contributions to knowledge – this should be a new insight / understanding / tool. Not all outputs will be new knowledge. Outputs must be based on your project.
- List the full title of the output in the table. Any one knowledge output should only be recorded in one category

Knowledge outputs				
Type of output	Title/description of output	Published Y/N?	Source (provide hyperlink)	Number
Literature review / scoping study / research report				
Tool / guide / guidance materials				
Conference paper/poster/ presentation				
Academic paper (journal article/working paper/book chapter/monograph)				
Policy document (Policy brief/research brief /recommendations /seminar)				
Blog/ social media/ traditional media / video				
			No of total outputs:	

5. What other communications and engagement activities have taken place to share evidence (beyond the response recorded in Q3)?

- To what extent has your Communications and Engagement Pathway to Impact Plan been implemented as planned?

² *Engaged*: State the name of the organisation / institution / group / network and any relevant individual or key contact personnel involved

³ *Duration of engagement*: State whether the engagement is 'new' i.e. commenced as part of the Water for Women Fund or 'existing' and include the years of engagement e.g. 2015, 2016, 2017

- If applicable, please summarise any issues that affected the ability of the research team to communicate research findings to achieve outcomes. For example:
 - delays in publication of research findings
 - changes to political contexts in which the research findings were presented
 - changes to key stakeholders/supporters of the research
- Please document how these challenges were addressed/what was learnt that might be useful to researchers/future research
- In the table below, also document events organised, training conducted or other processes supported for sharing research-generated evidence within and beyond the Fund, and with whom have they been shared (other CSOs, governments, and other national and/or international actors etc.) and for what purpose?

Communication and engagement activities			
Communication Method ⁴	Target audience and purpose of engagement	Audience Reached ⁵	Response ⁶

6. To date, in what ways have other civil society organisations, governments, and/or other organisations (within as well as beyond Water for Women Fund participants) taken up and used evidence generated through the inclusive (in its process) research? How has this take-up informed, influenced or changed policy, practice and/or discourse and thinking? What factors have facilitated uptake and use? *Limit 500 words*

- Where appropriate, please include **case studies** to illustrate in more detail specific successes/innovations/challenges in progressing/meeting one or more of the research objectives. Case studies can be used to illustrate changes in attitudes, behaviours, policies or practices as a result of research activity/ies. The case studies should:
 - focus on activities that most directly contribute to the achievement of research objectives
 - provide explanation of a causal link between activities (including, where appropriate, gender and socially inclusive aspects) and the relevant objective/s
 - provide an estimation of the level of attribution that can be claimed for the activity in the achievement of the outcome

7. How have researchers contributed to Water for Women Fund Knowledge and Learning activities and processes?

- Please include in your response the number of research team members participating in Fund-related webinars, e-discussions and forums

7. How have mutual benefits from research partnerships been secured? What evidence suggests high levels of satisfaction on the part of different research partners?

- Please include in your response both partnership with in-country research partners as well as any other partners

8. What activities have been undertaken to expand the capacity of the researchers, particularly those in developing countries, and other professionals to undertake research and/or use research findings.

⁴ *Communication Method*: General statement of method e.g. workshop, seminar, meeting, conference, teaching, course, social media etc.

⁵ *Audience Reached*: Specify level as well as estimate proportion of intended target audience reached, where possible. Include gender breakdown

⁶ *Response*: Qualitative assessment of response or sign of attention paid to the communication by the target audience E.g. expressions of interest; requests for more information; active participation and engagement; provision of comments or feedback. May include negative responses.

- How has the research project contributed to professional opportunities for in-country and early career researchers, including in relation to gender and social inclusive approaches?
- How has the research project helped develop attributes, skills and systems that increase quality and quantity of research conduct, uptake and use (particularly in the relevant country(ies)), and including in relation to gender and inclusive research processes)?

9. To what extent have research activities and partnerships supported strengthened relationships and learning networks between Australian, international and partner country governments, CSOs and research organisations? How could this be improved?

10. Financial Snapshot

Please provide a final financial snapshot of your budget and expenditure for the project below. This snapshot is in addition to the financial acquittal statement required with this report. The financial acquittal statement should include your expenditure of grant monies for the reporting period and be signed by an appropriate delegate from your accounts/finance office. The financial acquittal statement should be on your institution's letterhead.

Budget Allocations (A\$) – As per proposal

	1 st Year	2 nd Year	3 rd Year	Total
Researcher/s Salary				
Field Work Costs				
Travel and Related Costs				
Insurances				
Knowledge Transfer Activities				
Capacity Development Activities				
Total Australian Aid Funds Received				
Interest Earned on Australian Aid Funds				
Total Income from Australian Aid				

Total Expenditure (A\$)

	1 st Year	2 nd Year	3 rd Year	Total
Researcher/s Salary				
Field Work Costs				
Travel and Related Costs				
Knowledge Transfer Activities				
Capacity Development Activities				
Insurances				
Total Australian Aid Funds Expensed				

Total Australian Aid Funds Un-expensed:

9. Certification

I certify that all the details contained in this progress report are true and that all research partners and co-investigators agree that this report is an accurate representation of the projects progress so far.
Signed, Principal Investigator
Date

Attachment F: Impact maximisation extension grant process

WASH Research Awards

Impact maximisation extension grant process

An 'Impact Maximisation' extension grant will be made available on a competitive basis to high-performing research projects. This grant will support researchers and their partners to leverage research findings and relationships, undertaking follow-up activities that are expected to strengthen outcomes and impact of the research, and to monitor such results. \$500K has been allocated for this purpose.

The inclusion of this extension grant is based on lessons learned from DFAT funded Australian Development Research Scheme Award grants and DfID's research funding approaches. Both of these identify the need to incentivise researchers to give focus to maximising impact, and the necessity of funding beyond the life of a research grant to support and monitor such impact.

Expected grant size: AUD 30 000 – 80 000 over approximately one-year duration

Eligibility: Recipients of WASH Research Awards (Type 1 or Type 2) who have demonstrated good progress and are on track to complete planned research activities within the grant time-period.

Eligible activities: The Impact maximisation extension grant is expected to support the following types of activities (or related activities relevant to the research project):

- Continued strategic follow-up engagement with key end-users (e.g. policy-makers, practitioners etc.) in the form of meetings, forums, events, mentoring, policy review etc. in relation to research findings
- Further translation of research findings and outputs into useable tailored formats for specific audiences
- Development of training and/or capacity building activities to targeted audiences based on the research findings
- Support for knowledge intermediaries/brokers to further disseminate research findings
- Continued monitoring of research uptake, use and relates outcomes (and socio-economic impacts, as applicable)

Selection process: The Research Steering Group will advise DFAT on whether a single timed grant round is most suitable, or a staggered process (where as research organisations reach the final 6 months of their grant period they may apply for the extension grant, and available funds are allocated until fully expended). It is expected that a relatively simple, administratively un-burdensome process is adopted (for either Fund Coordinator or Research Organisations), given that good progress within the existing grant will be a pre-requisite.

Reporting: A reporting format that builds on and appropriately modifies the existing annual reporting will be developed by the Fund Coordinator in consultation with the Research Steering Group.

Attachment G: 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>

Adviser Performance Assessment (APA)

DISCLOSURE STATEMENT:

DFAT uses APAs to assess and assist in consistently reinforcing expectations and assessing performance to identify opportunities for enhancing individual Adviser performance. It acknowledges where Adviser performance is satisfactory (or above) and identifies where performance is unsatisfactory (or below) to ensure value for money is being achieved.

Input from APAs is also used in tender evaluations when assessing nominated personnel, and to provide supporting evidence for future Adviser remuneration considerations, in line with the Adviser Remuneration Framework. APAs are DFAT owned documents stored in its information and records management systems. APA information can be used for internal DFAT purposes and de-identified performance reporting to the public and the Government, including but not limited to, informing future procurement evaluations by tender Evaluation Committees, partner selection decisions, funding to multilateral organisations, partner governments and DFAT's aid program publications. Partners will be de-identified for the purposes of performance data analysis used in public reporting, unless there is a legal duty to do so. Partners must seek DFAT's written consent to share APAs with third parties.

NOTES FOR COMPLETING:

1. This form is to be used by DFAT and/or its implementing Partners for assessing Adviser performance.
2. An Adviser Performance Assessment (APA) is undertaken on completion of an adviser contract, or annually for engagements longer than one year in duration.
3. DFAT or the relevant MC may seek the views of Partner Government officials involved in the activity when completing the APA.
4. Where underperformance is identified in an APA, practical steps to rectify the performance issues must be put in place. Where underperformance is not sufficiently rectified, there must be practical consequences.
5. In all cases, Advisers must be given 15 working days to review and sign the APA.
6. Completed APAs must be emailed to contractor.performance@dfat.gov.au.

NOTES FOR ADVISERS:

1. Advisers are required to sign completed APAs within 15 working days of receipt.
2. Advisers may include a written response with the APA to address any issues raised.
3. Responses must be returned to the party conducting the APA (i.e. DFAT or Managing Contractor)
4. Failure to respond within 15 working days of receipt is deemed as acceptance of the APA.
5. Completed APAs are placed on DFAT's performance register and remain valid for five (5) years.
6. APAs, including written responses from Advisers, can be used by DFAT as part of a future adviser selection process.
7. APAs may be provided by DFAT to other Partner (Government, Multilateral etc.) procurement processes which involve DFAT funds.

Summary

Adviser Name	<i>Adviser Name</i>	Agreement Name	<i>Agreement Name</i>
Managing Contractor	<i>Name of Commercial Partner</i>	Agreement Number	<i>Agreement Number</i>
Agreement Start Date	<i>Start Date of Agreement</i>	Agreement End Date	<i>End Date of Agreement</i>
Reporting period start date	<i>Start Date of the Reporting Period covered in this APA</i>	Reporting period end date	<i>End Date of the Reporting Period covered in this APA</i>
Total Value	<i>\$AUD</i>	Country/Region	<i>Country / Region Name</i>
Report drafted by	<i>Name</i>	ARF Classification	<i>Professional Discipline/Job Category</i>
Approved by	<i>Counsellor / Director Name</i>	Date approved	<i>Date Approved</i>

Australian Aid – Rated Performance Criteria

Rate each statement using the following six point scale as a guide.

Satisfactory		Less than satisfactory	
6	Very good; satisfies criteria in all areas	3	Less than adequate; on balance does not satisfy criteria and /or fails in at least one major area
5	Good; satisfies criteria in almost all areas	2	Poor; does not satisfy criteria in several major areas
4	Adequate; on balance satisfies criteria; does not fail in any major area	1	Very poor; does not satisfy criteria in any major area

1. Deliver Lasting Results and Impact – Is the adviser achieving the agreed deliverables?

a) Achieves results and delivers on time; ensuring deliverables are of high quality, accurate and meet the defined requirements.	1	2	3	4	5	6
b) Progress in capacity building and knowledge transfer to key counterpart(s), as per the defined requirements.	1	2	3	4	5	6
c) Demonstrates effective leadership and management, as per the defined requirements.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

2. Demonstrated effective, ethical, efficient and economical use of resources – Does the adviser demonstrate Value for Money principles in their approach to the defined requirements?

a) Delivers defined services within budget.	1	2	3	4	5	6
b) Applies lessons learnt to enhance value for money.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

3. Collaboration, Communication and Responsiveness – Does the adviser work collaboratively, communicate effectively with stakeholders and respond effectively to emerging issues?

a) Demonstrates professional conduct and cultural sensitivity by communicating effectively, working collaboratively and building effective relationships.	1	2	3	4	5	6
b) Demonstrates appropriate flexibility and responsiveness to DFAT (and/or its implementing partner) and the Partner Government's requests.	1	2	3	4	5	6
c) Addresses problems/issues openly and constructively.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

4. Risk Management – Does the adviser effectively manage risk and operate in a manner consistent with DFAT policies?

a) Effectively manages risks and informs DFAT of any risks or issues that may adversely affect timing, cost or quality of services.	1	2	3	4	5	6
b) Takes appropriate account of DFAT policies including on Child Protection, Environmental and Resettlement safeguards; Gender Equality and Disability Inclusive Development.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

5. Other Contract Specific Measurable(s)

<i>[Add as required]</i>	1	2	3	4	5	6
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Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

<i>DFAT Representative</i>	<i>DFAT Partner Representative</i>	<i>Adviser</i>
Name:	Name:	Name:
Signature:	Signature:	Signature:
Date:	Date:	Date:

Partner Performance Assessment (PPA)

(EXAMPLE ONLY – Smart PDFs are downloaded from AidWorks)

Instructions:

It is mandatory to complete an annual PPA for NGOs, commercial suppliers and multilateral partners with agreements valued \$3 million and above. Core contributions to multilateral organisations and agreements of an administrative nature are exempt from completing a PPA. PPAs are usually completed by Agreements Managers and based on the most recent 12 month period where performance information is available.

Partners must be given a minimum of 15 working days to review and endorse the assessment. PPA must be approved by a relevant EL2 officer or above. The completed PPA (Smart PDF) must be uploaded directly into AidWorks by 1 May.

For further information please refer to the Good Practice Note, or contact the relevant partner area: for NGOs contact ngoengagement@dfat.gov.au, for multilateral organisations contact aidriskmanagement@dfat.gov.au, for commercial suppliers contact contractor.performance@dfat.gov.au.

Disclosure Statement:

DFAT uses PPAs to assess how well implementing partners are delivering the services required in aid agreements and to inform future funding decisions. PPAs are DFAT owned documents stored in its information and records management systems. PPA information can be used for internal DFAT purposes and de-identified performance reporting to the public and the Government, including but not limited to, informing future procurement evaluations by tender Evaluation Committees, partner selection decisions, funding to multilateral organisations, partner governments and DFAT's aid program publications. Partners will be de-identified for the purposes of performance data analysis used in public reporting, unless there is a legal duty to do so. Partners must seek DFAT's written consent to share PPAs with third parties.

Summary

Agreement name	<i>Agreement name</i>		
Partner's name	<i>Name of NGO, commercial supplier or multilateral organisation</i>	Agreement number	<i>Agreement Number</i>
Agreement start date	<i>Start Date of Agreement</i>	Agreement End Date	<i>End Date of Agreement</i>
Reporting period start date	<i>Start date of the reporting period covered in this PPA</i>	Reporting period end date	<i>End date of the reporting period covered in this PPA</i>
Total value	<i>\$AUD</i>	Country/Region	<i>Country / Region Name</i>
Report drafted by	<i>Name</i>	Sector	<i>Sector Name</i>
Approved by	<i>Counsellor / Director Name</i>	Date approved	
Partner type	<input type="radio"/> NGO <input type="radio"/> Commercial Supplier <input type="radio"/> Multilateral Organisation <input type="radio"/> Other		
Agreement type	<input type="radio"/> Procurement <input type="radio"/> Grant		

Australian Aid – Rated Performance Criteria

Rate each statement using the following six point scale as a guide.

Satisfactory		Less than satisfactory	
6	Very good; satisfies criteria in all areas	3	Less than adequate; on balance does not satisfy criteria and /or fails in at least one major area
5	Good; satisfies criteria in almost all areas	2	Poor; does not satisfy criteria in several major areas
4	Adequate; on balance satisfies criteria; does not fail in any major area	1	Very poor; does not satisfy criteria in any major area

1. Deliver Lasting Results and Impact - *Is the delivery partner achieving agreed objectives and results and promoting sustainability?*

a) Results focused and delivers on time, ensuring deliverables are of high quality, accurate and meet the defined requirements	1	2	3	4	5	6
b) Undertakes sound monitoring and evaluation reporting that includes quantitative and qualitative evidence of progress against objectives	1	2	3	4	5	6
c) Promotes sustainability and where applicable, is prepared for transition in/out of the activity	1	2	3	4	5	6

Assessment

Text is required for all ratings (1 – 6). Provide evidence and analysis to support the overall assessment and indicate the extent to which we are achieving the results expected at this time.

(no more than 300 words)

Overall rating	1	2	3	4	5	6
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2. Maximise Value for Money (VfM) – Is value for money being delivered ensuring effective, ethical, efficient and economical use of funds?

a) Committed to eliminating inefficiency and duplication and applying lessons learnt to enhance VfM	1	2	3	4	5	6
b) Delivers defined services within budget (predicted budgets compare well to actual expenditure)	1	2	3	4	5	6
c) Scrutinises costs to pursue the most cost-effective options and considers proportionality in planning/allocating resources	1	2	3	4	5	6
d) Robust systems and procedures in place to monitor and manage VfM during implementation	1	2	3	4	5	6

Assessment

Text is required for all ratings (1 – 6). Provide evidence and analysis to support the overall assessment and indicate the extent to which value for money is being delivered.

(no more than 300 words)

Overall rating

1 2 3 4 5 6

3. Collaboration, Communication and Responsiveness – Does the partner work collaboratively, communicate effectively with stakeholders and respond effectively to emerging issues?

a) Communicates effectively with stakeholders and counterparts (including partner government, other donors, private sector, communities and beneficiaries as appropriate), works collaboratively, builds effective relationships and ensures DFAT is consulted on key developments and emerging issues	1	2	3	4	5	6
b) Demonstrates appropriate flexibility and responsiveness to DFAT requests and addresses problems/issues openly and constructively	1	2	3	4	5	6

Assessment

Text is required for all ratings (1 – 6). Provide evidence and analysis to support the overall assessment and indicate the extent to which the partner effectively communicates with stakeholders.

(no more than 300 words)

Overall rating

1 2 3 4 5 6

4. Policy Alignment, Risk Management and Innovation – Does the partner operate in a manner consistent with DFAT policies and priorities, effectively managing risk, fraud and corruption, and promoting innovation?

a) Partner takes appropriate account of DFAT policies including on Child protection, Environmental and Resettlement safeguards, Gender Equality and Disability Inclusive Development	1	2	3	4	5	6
b) Has effective systems for identifying, managing and reporting risk, fraud and corruption and informs DFAT of risks/issues that may adversely affect timing, cost or quality of services as agreed	1	2	3	4	5	6
c) Partner follows branding guidelines, including use of the DFAT crest and Australian Aid Identifier, and promotes the visibility of Australian Government funded aid investments as appropriate	1	2	3	4	5	6

Innovation

(This is not a performance standard. A low rating against this question does not necessarily result in a poor performance assessment)

d) Partner proposes and implements innovative development approaches (e.g. results-based aid; trialling/adapting new technologies), leveraging new partnerships/sources of finance, whilst mitigating associated risks	1	2	3	4	5	6
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Assessment

Text is required for all ratings (1 – 6).

(no more than 300 words)

Overall rating

1 2 3 4 5 6

5. Effective partner personnel – Does the partner provide personnel with appropriate skills and experience and manage them effectively?

a) Senior personnel demonstrate effective leadership and management, achieve results against agreed responsibilities and communicate effectively	1	2	3	4	5	6
b) Head/Regional Office provides effective support and oversight to the in-country team	1	2	3	4	5	6
c) Recruitment and management of staff is conducted in a timely and professional manner and DFAT has been alerted to any recruitment/staffing issues	1	2	3	4	5	6

Assessment

<i>Text is required for all ratings (1 – 6).</i>						
(no more than 300 words)						
Overall rating	1	2	3	4	5	6

6. Other Agreement Specific Measurable(s) -

<i>If necessary, use the fields below to add any indicators specific to the partner performance agreement.</i>						
a) [Add as required]	1	2	3	4	5	6
b) [Add as required]	1	2	3	4	5	6
c) [Add as required]	1	2	3	4	5	6
d) [Add as required]	1	2	3	4	5	6

Assessment

(no more than 300 words)						
Overall rating	1	2	3	4	5	6

7. General Comments

<i>Use this text box to record any other information relevant to the performance of the partner. If there is insufficient space, a separate pdf can be uploaded to AidWorks. Advise here where additional information can be found, if applicable.</i>						
(no more than 500 words)						

Partner Acknowledgement

I/we endorse this Partner Performance Assessment.

Name:	
Position:	
Date:	

OR

I/we do not endorse this Partner Performance Assessment and attach a written statement detailing the reasons for this.

Name:	
Position:	
Date:	

OR

No comment received from the partner within the requisite period (partners should be given at least 15 working days to endorse ratings).

Name:	
Position:	
Date:	

Attachment A: Invitation to Submit an Activity Proposal

WASH Research Awards

Invitation to Submit an Activity Proposal template

Instructions for Organisations:

To be completed by the applicant. Please read the WASH Research Award Guidelines carefully before filling out this template to ensure your proposal and organisation are eligible to apply for funding.

A.1. Note to applicants	2
A.2. Invitation details	3
A.3. Proposal format.....	4
A.4: Terms and Conditions.....	8

A.1. Note to applicants

Instructions for Applicants:

The Fund Coordinator is seeking proposals from applicants eligible to apply for grant funding under the WASH Research Awards.

Please read the WASH Research Awards Guidelines carefully before submitting a proposal to ensure you are eligible to apply for funding.

If you choose to lodge a proposal, it **must** be submitted, along with any accompanying documents in accordance with the requirements set out in the WASH Research Awards Guidelines and the requirements set out in this invitation.

This document is separated into four (4) sections which together will be referred to as the “Invitation”.

A1.1 This section introduces the Invitation to submit a proposal.

A1.2 Specifies important details regarding the Invitation, including the closing time, the contact person for the WASH Research Awards and how to submit your proposal.

A1.3 The template format in which applicants are to submit their proposal and incorporates the Selection Criteria (See WASH Research Awards Guidelines) against which applicants’ proposals are assessed. The format will be built into a grants administration system called ‘SmartyGrants’ allowing applicants to submit online.

A.1.4 Details the terms and conditions under which this Invitation is offered. Applicants are encouraged to fully inform themselves of the Invitation’s terms and conditions when preparing their submission and to make any enquiries to the Contact Person as advised in the Call for Proposals, before the enquiry closing time.

This Invitation should be read in conjunction with the WASH Research Awards Guidelines available from DFAT’s website.

A.2. Invitation details

Invitation Details	
Name of Program:	WASH Research Awards
Request for proposals	18 December 2017
Closing Time (Proposal submission deadline)	17:00 (Canberra time), 27 Feb 2018
Applicant Briefing	Via Webex or in GHD office in Melbourne/Canberra, Australia 2 pm to 3 pm Thursday, 21 December 2017 Confirmation to attend the Briefing: By Close of Business, Wednesday, 20 December 2017 via email to waterforwomen@ghd.com
Water for Women Fund Contact Person:	Alison Baker, Fund Manager Water for Women Fund Email: waterforwomen@ghd.com
Method of Submission:	Online via SmartyGrants https://waterforwomen.smartygrants.com.au/ResearchAwards
Deadline for questions:	Any enquiries that organisations may have concerning this Invitation must be submitted in writing to the Contact Person as soon as possible and not later than, 13 February, 2018
Deadline for responses to questions (addenda):	The Water for Women Fund Coordinator will respond to any Organisation's enquiries no later than, 19 February, 2018

A.3. Proposal format

Proposals must be submitted via SmartyGrants and include all information required in accordance with **Attachment A** and the [SmartyGrants form](#).

Each proposal must be lodged as a separate application via SmartyGrants. Assessment will be a one step process.

Instructions for Applicants:

Applicants **must** fill out Table 1 below.

Applicants **must** respond to the Invitation as described in Sections below

Note for consortia:

- Please include details for all consortium partners. Copy this table if required.
- Each consortium partner must also provide a 1 page letter that provides brief information about itself, the relationship with other consortium members and expresses the intention to collaborate.

Section A.3.1: Applicant Details

Table 1: Applicant details	
Organisation name and ABN (if applicable)	
Name of main contact person (including title i.e. Mr/Mrs/Dr/Prof)	
Physical address (including city, postcode, country)	
Work phone number	
Mobile phone number	
Email address	

Section A.3.2: Application components

Table 3: Application components
Research details
Proposal title (20 words max)
Start date
End date
Total number of years/months
Proposal type
<input type="checkbox"/> Type 2: Linked to CSO implementation towards goal and outcomes of Water for Women
Relevant research theme
<i>Choose primary theme applicable</i>
<input type="checkbox"/> Gender and social inclusion (GESI) and WASH (including areas of intersection such as menstrual hygiene, women’s leadership or women’s economic empowerment in relation to WASH, violence and safety and WASH disability or a wide range of other topics) <input type="checkbox"/> Safely managed water and safely managed sanitation (both urban and rural contexts) <input type="checkbox"/> Achieving SDG6 – integration of water resources management and WASH, disaster risk reduction and WASH, climate change adaptation and WASH, water security <input type="checkbox"/> Strengthening sector systems (planning, monitoring, governance, service delivery models, political economy, private sector roles) at national and subnational levels <input type="checkbox"/> Cross-sectoral WASH and its impacts: particularly health, nutrition, food security and education
Country/countries
<i>List one or more countries as relevant</i>
Administering organisation details
Does the administering organisation have research as a core function?
Does the administering organisation for this project have a recognised ethics approval process?
Organisational capacity (Weighting: 35%)
Research leadership and team (including partners) (500 words max); Weighting 15%
Past performance and impact (500 words max); Weighting 15%
Organisational management systems (350 words max); Weighting 5%
Research project concept (Weighting: 65%)
Synopsis (250 words max)
Research questions (80 words max)
Significance, innovation, and policy-practice relevance (500 words max); Weighting 15%
<i>Please indicate how you the research addresses and important problem and how it will advance the knowledge base of gender and socially inclusive WASH. Explain how this approach is</i>

innovative and indicate how you will work with the proposed CSOs and contribute to their proposed outcomes.

Research activity design and method (750 words max); Weighting 20%

Please describe the activity design and method, including indicating how your research project will integrate gender and social inclusion into research processes (as relevant and appropriate to the topic). Please outline any key risks and how they will be managed.

Outputs/deliverables (250 words max)

Indicate a set of interim and final outputs and deliverables. An indication of the expected delivery time should be included in the Workplan. Reporting requirements include: 6 monthly progress reports, final report, CEPI report and one or more policy briefs. An output based agreement will be considered during negotiation of the grant agreement.

Workplan (250 words max)

Research team

Name	Position	Organisation	Proposed role (including days allocated)	Qualifications

Research communication & engagement (250 words max); Weighting 10%

Communications strategies should show how the research findings will be taken up and used and, in particular, outline how the research project team will engage with key stakeholders / end-users.

Capacity building (250 words max); Weighting 10%

Note any in-country collaboration, partnerships and developing country and early career researcher involvement, capacity building of partners, local researchers or others, and expected outcomes.

Budget and Value for Money; Weighting 10%

Budget (AUD)

Inception phase

Please note funds requested to support inception phase (maximum of AUD50K)

<i>Researcher's costs</i>	
<i>Travel and related costs</i>	
<i>Other costs</i>	
Total	
Other funding source (not essential)	

Implementation phase

	First year	Second year	Third year	Total
<i>DFAT funds requested</i>				
<i>Administering organisation contributions</i>				
<i>Other funding sources</i>				
Total				

Cost sharing and other funding sources (75 words max)

Budget allocations (AUD)				
<i>Under knowledge transfer, ensure allocations have been made to support active engagement in Water for Women Fund Knowledge and Learning (K&L) activities, including attendance at an initial Research Partnership Workshop, at least one regional learning event, and, for Type 2 grantees, includes participation in K&L Advisory group through virtual meetings)</i>				
	First year	Second year	Third year	Total
Researcher/s salary				
Field work costs				
Travel and related costs				
Insurances				
Knowledge transfer activities				
Capacity development activities				
Total DFAT Funds requested				
Justification of budget (250 words max)				

Section A.3.3: Past project sheets and referee information

Applicants may provide up to three past project sheets (within the last 10 years), including two referees for each (maximum 1 page each).

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.	

Section A.3.4: Organisation's Certification

Applicants **must** attach a completed and signed Organisation's Certification in the format below

Organisation's Certification
<ul style="list-style-type: none">• I hold the position of (<i>insert position title</i>) 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.• I have read the information provided in the WASH Research Awards Guidelines, including any addenda issued.• The statements in this proposal are true to the best of my knowledge• 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, The Fund Coordinator will reject at any time any proposal lodged by or on behalf of the Organisation.• 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.• 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 DFATs Child Protection Policy.• I warrant that the Organisation has not received grant funding for this Activity from another source other than that declared in Section 3.2 of this proposal.
Signature:
Name in Full:
Position in Organisation:
Date:

A.4: Terms and Conditions

Section A.4.1: Lodgement of Proposals

- A.4.1.1 Proposals must be lodged in accordance with the procedures set out in Section 1.2 of Attachment A and prior to the closing time specified in Section 1.2 of Attachment A ("Closing Time").
- A.4.1.2 Subject to Clause 4.3 (Late Submissions) below, the Fund Coordinator will reject any proposal that is not submitted in accordance with Section 1.2 of Attachment A.
- A.4.1.3 Applicants must include all information required in this Invitation in their proposal.

- A.4.1.4 The proposal and any additional documents submitted with the proposal must be in English.
- A.4.1.5 A person or persons with authority to lodge the proposal on behalf of the applicant must complete, sign and submit the Organisation's Certification provided in Section 1.3.4 of this Invitation. For consortia, a Certification must be completed and signed for each partner in the consortium. The Fund Coordinator may reject an applicant's proposal if it does not submit the Organisation's Certification(s).

Section A.4.2: Enquiries

- A.4.2.1 Any enquiries that you may have concerning this Invitation must be submitted in writing to the Contact Person in Section 1.2 of Attachment A as soon as possible and not later than 14 days prior to the Closing Time.
- A.4.2.2 The Selection Panel will respond to any enquiries no later than 8 days prior to the Closing Time.
- A.4.2.3 The Fund Coordinator will publish answers to enquiries on the Water for Women for Women and DFAT websites (without identifying the organisations that submitted the enquiries).
- A.4.2.4 The Fund Coordinator recommends that, up until the Closing Time, organisations check the Water for Women DFAT website regularly for updates.

Section A.4.3: Late Submissions

- A. 4.3.1 Proposals that are submitted after the Closing Time will not be evaluated.
- A. 4.3.2 The judgement of the Fund Coordinator as to the time a proposal was submitted will be final.

Section A.4.4: Non-Conforming Proposal

- A. 4.4.1 Subject to **Clause 1.4.3 (Late submissions)**, proposals will be regarded as non-conforming if they fail to conform to one or more of the requirements of this Invitation.
- A. 4.4.2 The Fund Coordinator may seek clarification of non-conforming proposals.
- A. 4.4.3 Subject to **Clause 1.4.3 (Late submissions)**, the Fund Coordinator may, at its absolute discretion accept the proposal or not.

Attachment B: Sample Research Award Grant Agreement

[Note: this Annex includes a grant agreement that is based on the current standard DFAT Research Grant Agreement suitable for low-risk projects. However, an agreement will be developed between the Fund Coordinator and each Research Organisation, consistent with DFAT requirements. Hence this sample agreement should be understood to be indicative only.]

[Name]
[Recipient Entity] ('the Recipient')
[Address]

Dear [Name]

I am pleased to advise that Water for Women Fund Coordinator wishes to give your organisation (the Recipient) a grant to support it to implement the activity “[Insert Activity title]”, described in **Annex B** of this Sample Agreement to this letter. The details of the grant are set out in **Annex A** of this Sample Agreement. If the Recipient accepts the grant, it must comply with the terms and conditions set out in **Annex C** of this Sample Agreement.

Please read **Annex 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:

Mr Bill Pennington,
Knowledge and Learning Manager
Water for Women Fund Coordinator
GHD Office
Level 8, 180 Lonsdale St,
Melbourne, VIC 3000

Yours sincerely,

Dr Alison Baker
Fund Manager,
Water for Women Fund

[Month] [Year]

ACCEPTANCE OF GRANT

On behalf of the Recipient, I accept the grant offered by the Water for Women Fund Coordinator 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)

Drafting Note: Remove the table rows for tranches if your grant is being paid upon signing in total

ANNEX 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>The Fund Coordinator will pay the Recipient a Grant that is to be acquitted, 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>The Fund Coordinator 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>The Fund Coordinator 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 the Fund Coordinator and DFAT. • An output based payment terms will also be considered. 	
Recipient	[Insert name of the Recipient]	
Activity	The Activity described in Attachment B.	
Activity Start Date	[Insert]	
Activity End Date	[Insert]	
WfW Agreement No.	[Insert]	
Recipient Contact	Name: Postal Address: Street Address: Email: Facsimile:	
The Fund Coordinator Contact	Name: Postal Address: Street Address:	

	Email:
	Facsimile:

ANNEX B – ACTIVITY PROPOSAL AND BUDGET

[Insert or attach Activity proposal and budget received from the Recipient - Ensure that the budget amount matches the Grant amount in attachment A]

ANNEX 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 the Fund Coordinator an invoice requesting payment of the Grant which includes the Grant Details and the name of the Activity.
- 2.2. 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 the Fund Coordinator 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 the Fund Coordinator and DFAT if it discovers any link between the Recipient or the Activity and organisations or individuals associated with terrorism.
 - k) If required by the Fund Coordinator or DFAT, permit the Fund Coordinator to monitor and/or evaluate the Activity and/or the use of the Grant.
 - l) If required by the Fund Coordinator or DFAT, permit the Fund Coordinator 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 the Fund Coordinator 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 the Fund Coordinator to do so and at no cost to the Fund Coordinator, 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 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 the Fund Coordinator.
 - b) Dispose of or write-off assets purchased with the Grant except as approved by the Fund Coordinator.
 - 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 the Fund Coordinator'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 the Fund Coordinator and 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 the Fund Coordinator and 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 the Fund Coordinator, reimburse to the Fund Coordinator any part of the Contribution misappropriated through Fraudulent Activities; and
 - d) keep the Fund Coordinator 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. The Recipient must report six monthly on progress made during the previous six monthly period, including an acquittal of expenses to date. On an annual basis, the Recipient will be prepare an Annual Report and Annual Plan, including an acquittal of funds expended over the full year.
- 6.2. Within thirty (30) days after the Activity End Date, the Recipient must send to the Fund Coordinator 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
- 6.3. an acquittal statement which:
 - a) explains how the Recipient spent the Grant;
 - b) confirms that the Recipient spent the Grant in accordance with

- c) 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
- 6.4. If the Recipient has not spent any part of the Grant, it must return the unspent funds to the Fund Coordinator with the acquittal statement.

7. INTELLECTUAL PROPERTY

- 7.1. The Recipient will own any intellectual property in material created by the Activity but grants the Fund Coordinator and DFAT an irrevocable, non-exclusive, world-wide, royalty-free licence to use the material for any purpose.

8. TERMINATION

- 8.1. The Fund Coordinator may immediately terminate this Agreement by giving the Recipient a notice in writing if the Recipient:
- d) Becomes, or in the opinion of the Fund Coordinator may become, bankrupt, insolvent, deregistered or no longer able to undertake the Activity to a standard acceptable to the Fund Coordinator and DFAT.
 - e) Fails to commence or, in the opinion of the Fund Coordinator, 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 the Fund Coordinator to remedy the failure.
 - f) Breaches a term of this Agreement and does not remedy the breach within the time stipulated in a written request from the Fund Coordinator to remedy the breach.
 - g) 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. The Fund Coordinator 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 The Fund

Coordinator an acquittal statement (see clause 6.2) and return to the Fund Coordinator 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 the Fund Coordinator to support the Recipient is not used to provide assistance to, or otherwise support, terrorists or terrorist organisations, and will inform the Fund Coordinator immediately if, during the course of this agreement, the Recipient determines that any such funds have been so used.

10. ANTI-CORRUPTION

- 10.1. The Fund Coordinator, 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 the Fund Coordinator of any suspected or detected corruption or bribery affecting programs funded by DFAT through the Fund Coordinator 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 [DFAT's Child Protection Policy](#).
- 11.2. The Fund Coordinator 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. PERFORMANCE STANDARDS

- 13.1. Where delivering the Goods/ and or Services, the Grant Recipient must at all times meet the performance standards outlined in this Clause 13.
- 13.2. Where this agreement is for Services they must be performed:
 - a) With due skill, care and diligence;
 - b) To a professional standard and in a timely manner; and
 - c) In the most cost-effective manner and using suitable materials.
- 13.3. When this agreement is for Goods the Recipient must:
 - a) Be reasonably fit for purpose;
 - b) Be provided in compliance with all relevant Australian standards (if not apply, international) and Partner Country industry standards, best practice, guidelines and codes or practice;
 - c) Ensure any product resulting from the Goods will be of such a nature and quality, state or condition, that they can be reasonably expected to achieve their intended result;
 - d) Be provided in a way that demonstrates the Recipient has sought to improve the quality, effectiveness and efficiency of the Goods at every opportunity; and
 - e) Where for construction, be provided in accordance with the design brief and/or functionality requirements, and using new materials unless otherwise specified.
- 13.4. The Recipient acknowledges and agrees that the Fund Coordinator and/or DFAT may issue in relation to this grant agreement a:
 - a) Partner performance assessment
 - b) An Adviser performance assessment
 - c) Sub-contractor performance assessment
- 13.5. Performance assessments will be substantially in accordance with the Partner Performance Assessments and Adviser Performance Assessments in Attachment 8. Within 15 days of receiving a performance assessment from the Fund Coordinator, the Recipient

must:

- a) Sign and return to the Fund Coordinator the Partner Performance Assessment or any other performance assessments together with any responses from the Recipient, their sub-contractors or personnel.

Performance assessment templates are provided in Attachment H.

14. GENERAL

- 14.1. This Agreement commences when the Fund Coordinator receives the Recipient's signed confirmation of its acceptance of the Grant and continues until the parties have fulfilled all of their obligations.
- 14.2. DFAT must send notices to the Recipient Contact in the Grant Details.
- 14.3. The Recipient must send notices to the Fund Coordinator Contact in the Grant Details.
- 14.4. This Agreement may be amended by a Deed of Amendment signed by the Fund Coordinator and the Recipient.
- 14.5. The Recipient must establish and maintain appropriate insurances for the duration of the Agreement which may include:
 - a) Adequate medical and dental insurance for Personnel who are engaged to operate outside their country of permanent residence;
 - b) Adequate insurance for medical evacuation;
 - c) Public liability insurance;
 - d) Worker's Compensation where required by law; and
 - e) Professional indemnity insurance where required which is adequate to cover any claims arising from WfW activities by the Recipient.
- 14.6. This Agreement is governed by the law of the Australian Capital Territory, Australia.

Attachment C: Research Component (WASH Research Awards)

Analysis and strategic context

Global and regional research needs

At a global level, evidence to guide improvements in water, sanitation and hygiene (WASH) exists in some areas and is lacking in others. The sector has a robust global monitoring system led by WHO and UNICEF,¹ that has evolved and adapted to the changing international landscape of the Sustainable Development Goals (SDGs) and the Human Rights to Water and Sanitation. The UN Water Global Assessment and Analysis of Sanitation and Water (GLAAS), implemented by WHO, also provides insight into key sector bottlenecks at country level.²

Various research initiatives have informed sector thinking globally and regionally, demonstrating how strategic research can inform policy and practice. These include significant work funded by DfID, Gates Foundation, SIDA and DFAT, including WASH-related cost-benefit analysis,³ WASHCost on the life cycle costs, Triple-S in terms of addressing 'sustainability' of WASH outcomes,⁴ the CLTS Knowledge Hub on community-led sanitation,⁵ REACH on water security,⁶ Enterprise in WASH⁷ and Sanitation Market Exchanges⁸ on small-scale enterprise roles, health and hygiene behaviour change research,⁹ and research on urban sanitation challenges in low-income communities.¹⁰

These efforts represent only a small proportion of the areas that require better evidence to underpin decision-making by policy makers and practitioners in addressing SDG 6. The Sanitation and Water for All (SWA) global advocacy partnership has recognised this gap. With 'evidence-based decision making' as one of its three key global priorities, SWA constituents have been developing a global research agenda that is responsive to current needs.¹¹ This research agenda has identified nine key areas including better evidence on: (i) managing untreated wastewater and faecal sludge (ii) ending open defecation (iii) addressing inequalities among sub-populations (iv) achieving universal access (v) building national capacity (vi) improving levels of service (vii) strengthening local community participation (viii) financing, and (ix) ecosystem sustainability and resource conservation.¹²

Research on WASH in the Asia-Pacific is less developed than other regions such as Africa, which has been supported by various European donors.¹³ Recent 'evidence gap maps'

¹ <https://www.wssinfo.org/>

² http://www.who.int/water_sanitation_health/glaas/en/

³ http://www.who.int/water_sanitation_health/publications/2012/globalcosts.pdf

⁴ <http://www.irccwash.org/wash-tools>

⁵ <http://www.communityledtotalsanitation.org/page/clts-knowledge-hub-strengthening-and-broadening-clts-scale>

⁶ <http://reachwater.org.uk/>

⁷ <http://enterpriseinwash.info/>

⁸ <http://www.watercentre.org/portfolio/pacific-wash-marketing>

⁹ <http://ehg.lshtm.ac.uk/wash/> and <http://waterinstitute.unc.edu/research/>

¹⁰ <http://communitysanitationgovernance.info/>; <http://www.wsup.com/programme/what-we-do/research/>;

<http://www.gatesfoundation.org/What-We-Do/Global-Development/Water-Sanitation-and-Hygiene>

¹¹ <http://sanitationandwaterforall.org/priority-areas/>

¹² [Draft] Research Priorities under Sustainable Development Goal 6 and Research and Learning Challenges among Global Partners of Sanitation and Water for All (SWA) Prepared by: Karen Setty and SWA Research and Learning Partners

¹³ See, for example the global spread of rigorous evidence on private sector roles in WASH in a recent review, showing dominance of Africa focused rigorous research, http://enterpriseinwash.info/wp-content/uploads/2016/06/ISF-UTS_2013_Working-Paper-1-Systematic-Review.pdf

developed through systematic reviews conducted by the International Initiative for Impact Evaluation demonstrate a much smaller number of studies linking WASH with health and non-health impacts in the Asia-Pacific as compared with other regions.¹⁴

Global research focused on links between gender and social inclusion and WASH is limited. There are emergent areas of evidence in menstrual hygiene management,¹⁵ women's leadership,¹⁶ maternal health,¹⁷ links to violence and safety,¹⁸ and women's psychosocial stress related to lack of access to facilities.¹⁹ Few studies in these areas exist in Asia-Pacific, however there are some initial studies underway on menstrual hygiene issues in the Pacific²⁰ and Indonesia.²¹ Women's economic empowerment through the water-related workforce is limited, and studies on small-scale enterprises have revealed women's under-representation amongst WASH-related enterprises,²² however both areas are under-researched. Research on gender and social inclusion within the broader WRM sector in the Asia Pacific region is also an undeveloped area of importance given the inter-relationships between WASH and WRM. Overall, a significant research gap remains to inform efforts to address gender and socially inclusive WASH, in both policy and in practice.

DFAT support to research in WASH

Research is a key pathway in the aid program to catalyse and inform innovation, and to provide evidence for policy-making and program delivery. Investment in research also facilitates access to diverse partnerships (both with research organisations and their extended networks with government, private sector and civil society in partner countries). As such, research can make a significant contribution to Australia's aid policy²³ and wider diplomatic efforts and engagement. Past efforts in the form of the 2012 Research Strategy²⁴ and design of the Australian Development Research Award Scheme (ADRAS) developed significant knowledge and experience on effective approaches to funding development research,²⁵ and recent study demonstrates outcomes and impacts achieved.²⁶

DFAT has invested in research in WASH in Asia-Pacific to support improved policy and practice, various analytical tools and resources and to contribute to the global knowledge base for WASH. In 2008, research was commissioned that provided an evidence-base to inform design of the first CS WASH Fund (2009-2011).²⁷ DFAT also funded three WASH

¹⁴ <http://gapmaps.3ieimpact.org/evidence-maps/water-sanitation-and-hygiene-evidence-gap-map>

¹⁵ <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC3637379/>

¹⁶ www.genderinpacificwash.info

¹⁷ <http://onlinelibrary.wiley.com/doi/10.1111/tmi.12275/abstract>

¹⁸ <http://violence-wash.lboro.ac.uk/>

¹⁹ <http://journals.plos.org/plosone/article?id=10.1371/journal.pone.0141883>

²⁰ https://www.burnet.edu.au/projects/282_the_last_taboo_formative_research_to_inform_menstrual_hygiene_management_interventions_in_the_pacific

²¹ https://www.burnet.edu.au/projects/221_menstrual_hygiene_management_in_indonesia_understanding_practices_determinants_and_impacts_among_adolescent_school_girls

²² www.enterpriseinwash.info

²³ <http://dfat.gov.au/about-us/publications/Documents/australian-aid-development-policy.pdf>

²⁴ <http://dfat.gov.au/about-us/publications/Documents/research-strategy-2012-16.pdf>

²⁵ <http://dfat.gov.au/aid/topics/development-issues/research/Pages/australian-development-research-awards-scheme.aspx>

²⁶ Muirhead 2017 Impacts of ADRAS grants, Research for Development Impact Network, June 2017 (forthcoming)

²⁷ International WaterCentre and the Institute for Sustainable Futures, *NGO Partnerships and Capacity Building in the Water, Sanitation and Hygiene Sector* (2008), Part 1 and 2

research grants (totalling AUD650,000) as part of the Australian Development Research Award Scheme (ADRAS) in 2009-2011, and made a further significant AUD6.3m investment in 2012 in six ADRAS grants. These grants were selected on a competitive basis and the intent was to contribute to a stronger sector evidence base and contribute to Australia's leadership role in the WASH sector globally.

These investments in research have provided international profile for DFAT at international events (for example, Stockholm World Water Week, WEDC Conferences, UNC conferences, FSM conferences). These grants have also made major contributions to the main program and training sessions at the DFAT-hosted global WASH conferences (2008, 2011, 2014 and 2016), the latest of which attracted over 400 people from 47 countries.²⁸ Other outcomes have included uptake and use of research findings to influence policy and practice (see **Attachment 4** for examples).

Lessons in investing in research

Lessons learned for ADRAS grants, including those focused on WASH, address how to best support achievement of research impact, to promote effective research capacity building processes, and support ethical and effective research partnerships.²⁹ These lessons are elaborated further below and have been incorporated into the design of the WASH Research Awards (WRAs).

Achieving research impact

A key consideration in investing in WRAs is to ensure this research has development impact, and that researchers explicitly plan for this in their research design, since this has only been done to a variable degree in research funded to date.³⁰

Development impact (in terms of socio-economic outcomes) from research is generally enabled by policy and practice changes amongst relevant country stakeholders. A common framework for understanding types of policy and practice includes three types impact:³¹

- (i) instrumental – influencing policy, practice or service provision, shaping legislation, altering behaviour
- (ii) conceptual – contributing to the understanding of policy issues, reframing debates
- (iii) capacity building – through technical and personal skill development.

Numerous evaluations and studies have examined strategies to facilitate impact, and these suggest that the following five factors are important³² and which have therefore been given consideration in design of WRAs:

- *Demand for evidence*: Research that meets the needs of end-users

²⁸ <http://dfat.gov.au/about-us/publications/Documents/aid-fact-sheet-water-for-development.pdf>

²⁹ Muirhead 2017 Impacts of ADRAS grants, Research for Development Impact Network, April 2017 (forthcoming)

³⁰ Muirhead 2017 Impacts of ADRAS grants, Research for Development Impact Network, April 2017 (forthcoming)

³¹ ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research

³² See DfID 2014 What is the evidence on the impact of research on international development? A DfID literature review

- *Collaboration and engagement*: Research processes that engage with users throughout the life of the project, or that involve users as part of research teams in co-production of knowledge
- *Planning for communications and engagement*: Intentionally planning these aspects from the beginning of a project, ensuring clarity on the part of researchers about who will use the research and for what purpose, how outputs will be tailored for and made accessible to different audiences
- *Conceptualising pathways to impact*: Clarity on who will benefit from the research, how they will benefit and what will be done to ensure they have the opportunity to benefit from this research
- *Monitoring and evaluating uptake*: including design of research uptake objectives, their reflection in the approach, their monitoring and adaptation

Research capacity development

Building local research capacity is another pathway to foster outcomes and impact from development research investments. This includes technical and personal skills development for in-country researchers, including development of critical thinking capacity.³³ Approaches to maximise effectiveness of research capacity building include:³⁴

- Understanding existing capacity and motivations, priorities, and developing local ownership of capacity building
- Ensuring skills to facilitate learning and capacity building exist in the research team
- Considering how any individual capacity development sits within a wider context and relevant organisational engagement (for example viable career structures to use new skills)
- Ideally facilitate long-term engagement and partnership
- Monitor and evaluate to check if capacity is indeed 'being built' and adapt plans as needed.

Research partnership

Research partnerships of multiple types will be important to the success and effectiveness of the WRAs. Several types of research partners will be relevant, including: (i) between academics and CSOs and (ii) between Australia/international research organisations and in-country research organisations or researchers. Other partnerships, for example, with government, civil society or private sector counterparts are also critical to ensuring collaborative approaches and subsequent impact.

³³ Many studies demonstrate the importance of development of critical thinking skills, which in international comparative studies are found to be low in low-income countries due to rote-learning or teacher centric teaching. In addition, research skills such as seeking and finding information and problem solving which are key components of the human capital needed to drive socio-economic development. ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research

³⁴ DfID 2014 What is the evidence on the impact of research on international development? A DfID literature review

Recent review of academic-CSO partnerships reveals a range of benefits and challenges.³⁵ Benefits for CSOs included associated analytical skills development, recognition of multiple perspectives on development challenges and development of credible evidence to support advocacy and programming. Enablers of effective partnerships included investing time in building trustful relationships, regular shared debriefing of reflections and lessons learned and developing a shared communications plan at the outset. Challenges included staff turnover in relevant organisations, varied quality in data collection and associated skills/capacity development, cross-cultural communication issues, and shaping of outputs to be directly useful and useable to CSOs.

A key issue in research partnerships across developed and developing countries concerns mutually beneficial engagement, avoiding reduction of in-country partner roles to data collection and instead, developing equitable, effective research partnerships with shared work based on common interests and agendas.³⁶

Investment description

Summary

The investment of AUD10.6 million in WRAs is intended to support high-quality research to provide a strengthened evidence base for WASH policy and practice in Asia-Pacific. The investment in research will also support the wider investment of the Water for Women Fund in civil society organisations with relevant evidence and research practice, contributing to the public profile and reputation of work undertaken, as well as enhancing the evidence base on what works. The WRAs will support Australia to continue to play a sector leadership role regionally, and globally, through recognition for world-class quality research and evidence. The WRAs will also build research expertise in WASH in the region through engagement of in-country research organisations, and contribute to partner country capacity to address WASH issues and use evidence in policy and practice. In line with the wider Fund, all research will be expected to use gender and inclusive research *processes*, as appropriate to the topic.

The expected partners will be Australian and international research organisations, working with research institutions in Asian and Pacific countries. For research linked with Water for Women implementation, research organisations will also partner with civil society organisations (CSOs), particularly, but not limited to, those CSOs with grants under the Fund. The scope includes countries across South Asia, South-East Asia and Pacific. The types of research funded will be applied research, including interdisciplinary and transdisciplinary research³⁷ that seeks to address key questions arising in policy and practice.

The management approach will be streamlined and integrated with the overall management structure for Water for Women. The Knowledge & Learning Manager (KALM) will have oversight of the research grant management, with additional administrative assistance. A Research Steering Group (RSG) will provide a means for strategic engagement between

³⁵ See <https://rdinetwork.org.au/wp-content/uploads/2017/01/research-partnerships-l-d-note-feb-2015.pdf>

³⁶ Gilles Carbonnier and Tiina Kontinen 2014 North-South Research Partnership Academia Meets Development? EADI Policy Paper Series

³⁷ It is expected that the research may span social, technical, environmental and economic fields.

DFAT, the Fund Coordinator and participating research organisations. Structured linkages to the Knowledge and Learning (K&L) component have been designed, to ensure integration with other parts of the Fund and maximise research dissemination and engagement. The GESI and WASH specialists may have input to the research during the inception phase as relevant, for instance to ensure gender and inclusive research processes are appropriately incorporated.

Expected outcomes

As a research component within the wider Fund, the WRAs are expected to deliver outcomes aligned with those of the overall Fund. The WRAs represent one pathway through the wider Fund’s theory of change, with a focus on Outcome 4 (‘Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors’) (see Figure 1).

This outcome will be achieved through targeted research on both: (i) addressing critical regional WASH research gaps (ii) research linked with CSO implementation and outcomes of the Water for Women Fund. Researchers will be expected to engage strongly and ethically with end-users (who may be CSOs, or other national and international actors) during the research process. This will enable sector actors to influence research questions and agendas, and in doing so, facilitate uptake of new evidence. All research will be expected to be gender and socially inclusive in its *process* (as appropriate to the topic).³⁸

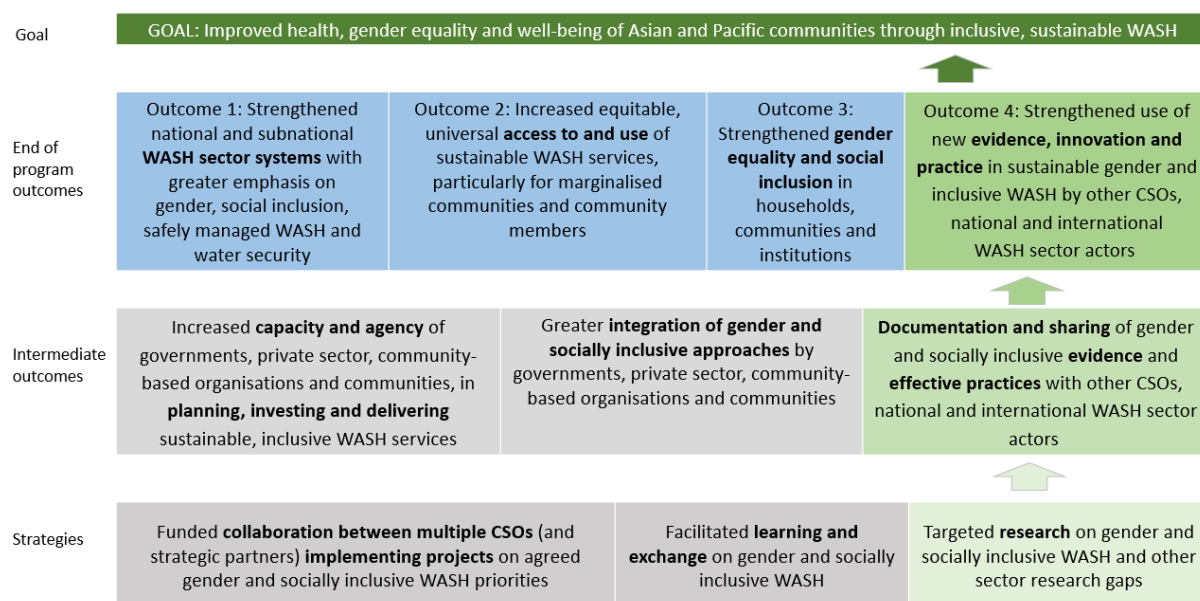


Figure 1: Theory of change for WRA (in green) in relation to the wider Water for Women Fund

The assumptions in this theory of change are many. In particular, it should be cautioned that translation of research into changes in policy and practice *takes time*, and expectations should therefore remain realistic. It is more likely that the ‘preconditions’ for such changes in

³⁸ It is acknowledged that some forms of research, for instance, technically focused research may present more limited scope to address gender and social inclusion, however all possible associated links should be considered.

policy and practice can be assessed during the lifetime of the funding, including *uptake and use*, rather than the results thereof. Other assumptions include:

- That it is possible to conduct high-quality, ethical and inclusive research of appropriate depth and breadth when working in low-resource, complex environments, and where in-country research capacity is typically low or variable
- That demand for and supply of research evidence can be suitably matched, when both take place in evolving and changeable contexts
- That researchers share motivations to ensure research uptake, use and impact, and are not only focused on knowledge generation and narrow measures of research excellence
- That research partnerships between different types of organisations, including CSOs, can be successfully integrated with or run alongside implementation practice
- That CSOs, national and international actors have an interest in engaging with new evidence and/or research processes, and relevant drivers, incentives and capacity to integrate and use the findings in their policy and practice

Geographic and sectoral scope

The geographic scope of the WRAs will be developing countries in the Asian and Pacific regions. The research focus will be on the following sectoral priorities, identified through an extensive consultation process. Examples are indicative only and proposals under each of the five priorities do not need to be limited to these examples:

1. Gender and social inclusion and WASH (*for example, including areas of intersection such as menstrual hygiene, women's leadership or women's economic empowerment in relation to WASH, violence and safety and WASH, disability and WASH, maternal health and health facilities or a wide range of other topics*)
2. Safely managed water and safely managed sanitation and hygiene (both urban and rural contexts) (*for example, including beyond ODF, progression to safely managed drinking water supply, innovations in technology and process to achieve safe standards, effectiveness of and innovation in hygiene behaviour approaches etc.*)
3. Achieving SDG6 – integration of water resources management (WRM) and WASH, disaster risk reduction (DRR) and WASH, climate change adaptation (CCA) and WASH, water security (*for example, including vulnerability and resilience, water scarcity, water allocation and decision-making, risk-based approaches, climate preparedness etc.*)
4. Strengthening sector systems (*for example, including planning, monitoring, governance, coordination, financing, service delivery models, sustainability outcomes, political economy, government, private sector and community roles at national and subnational levels*)
5. Cross-sectoral WASH and its impacts: particularly health, nutrition, food security and education (*for example, health and non-health impacts of WASH, links and synergies between WASH and nutrition, links between menstrual hygiene and school absenteeism etc.*)

Delivery approach

Partners

The WRAs will be offered on a competitive basis to research organisations (or organisations that have research as a core component of the organisation's mandate). The aim is to secure high-quality research by staff with the necessary qualifications and demonstrated skills to conduct rigorous, ethical and culturally appropriate, world-class research. Administering organisations must have access to a recognised Ethical Review process. Research organisations would be expected to partner with in-country research partners, and for research connected with Water for Women implementation, also with CSOs. The selection process will emphasise selection of organisations with strong relationships and profile in the relevant country contexts, since this is considered a key factor in research attaining impact.³⁹ A draft grant agreement is provided in **Attachment 2**.

Types of research

The types of research funded will be *applied research*, including interdisciplinary and transdisciplinary research that seeks to address key questions arising in policy and practice.⁴⁰ The research approach will be expected to be fit-for-purpose depending on the research questions addressed, and may consist of targeted quantitative, qualitative or mixed method studies; action research; operational research; policy research; longitudinal studies or other approaches. All research will be expected to be gender sensitive and inclusive in its processes.

Two research project types will be funded, seeking a roughly even balance between the two types, noting that *all* research will be expected to be gender and inclusive in its processes:

(i) (Type 1) Research that addresses **key regional research gaps** in Asia-Pacific. This type will comprise future-looking research answering broad sector questions or examining emerging challenges and trends in the sector. It includes research that can serve the needs of various WASH actors in the region, including end-users such as partner governments at national or subnational level, DFAT and other donors, CSOs or other international agencies and sector stakeholders.

(ii) Type 2 Research that is **closely linked with CSO implementation** related to the outcomes of Water for Women's Theory of Change. This research may include action research, specific studies answering CSO-relevant questions, or evidence to assist with adapting and evolving approaches from one context to another. An explicit partnership with one or more CSO is a requirement for this category of research. The research should inform sector learning, and be of benefit to more than one CSO.

³⁹ This study demonstrated that 93% of impact-achieving grants had prior relationships with the stakeholders in place. ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research, p6

⁴⁰ This may include both studies to explore 'what works and why' as well as 'to better understand the world/context', and may include research on products or technologies though this is unlikely to be a central focus. These constitute three types of research described in ESCR and DfID 2016 Evaluating the Impact of the ESRC-DFID Joint Fund for Poverty Alleviation Research. Since WASH crosses disciplinary boundaries, it is likely that social, institutional, technical, environmental and economic dimensions may be relevant, depending on the topic.

For Type 2 awards, it is expected that research organisations and relevant partner CSOs will negotiate appropriate roles and involvement of CSOs on mutually beneficial and agreeable terms, taking a partnership approach. The arrangement may vary depending on the nature of the research, the interest of the CSO in different aspects of research (e.g. in skill development, in stakeholder engagement around the research, in only the final research findings), availability of CSO staff to be involved in the research or other factors.

DFAT engagement

DFAT Water, Sanitation and Hygiene (WSH) Section will seek to ensure that knowledge and evidence developed through the WRAs is actively shared with, and informs DFAT staff and any relevant policy development and programming.

Value for money

A competitive grants process managed by DFAT followed by grant administration by the Fund Coordinator, was determined to provide the greatest value-for-money. It will also support integration with the wider Fund. Other options considered were a separate investment managed by a research institution, or delivery through existing technical services arrangements (for instance, the Specialist Health Services contract). The former was deemed to create a conflict of interest as regards any lead research institution, and the latter found not to be suitable for research grant funding. Strategic level engagement between a Research Steering Group (RSG) is expected to facilitate a partnership between DFAT and grantees and on-going focus on maximising outcomes. A competitive grants process encourages competition, supports alignment to key policy objectives and provides assurance of value-for-money by testing the market.

Resources

The overall budget for this component is \$10.6 million over five years. Of this, about \$800,000 is expected to be allocated for management and oversight by the Fund Coordinator, approximately \$9.3 million to research grants and \$500,000 to 'Impact Maximisation' extension grants.⁴¹

The selection process for the WRAs will be through a competitive grant process open to research organisations (or organisations with research as a core component of their mandate). There will be two calls for proposals for research funding: the first round of applications will be to address Type 2 research awards. A call for proposals for the Type 1 research awards will be conducted once the CSOs have developed their project designs and have commenced implementation. Grant proposals will include how grant funding will be allocated to achieve the outcomes sought by DFAT, and identify co-funding and/or co-contribution from applicants.

Management of the research grants will be integrated with the management of the wider Fund, with the grant agreements held by the Fund Coordinator. DFAT staff in relevant posts

⁴¹ These grants are designed to assist with uptake, use and subsequent outcomes and impact of research. They are used by DfID and other donors to promote follow-through on high-performing grants to support and monitor their outcomes and impact, based on a recognition that without such resourcing, this follow-up is difficult to achieve.

will be updated on progress and both researchers and DFAT posts will be encouraged to engage meaningfully with research that relates to DFAT country programming.

Implementation arrangements

Approaches and principles for implementation and delivery

To maximise the impact and relevance of the research conducted, the following principles for implementation and delivery will be adhered to in the selection and grant management processes:

- Strong emphasis on seeking research impact
- Adherence to research excellence and quality, including use of culturally sensitive, ethical, gender and socially inclusive research processes
- Active involvement of, and mutual exchange with, in-country research partners
- Active involvement of end-users, including DFAT
- Support to research capacity development, both in-country and early career researchers
- Robust approach to communication and engagement
- Sound partnership management and engagement
- Rigorous approach to performance assessment

Following a competitive selection process, an inception phase will be supported. This inception phase is designed to support co-development and co-design of the research process between partners. It will also allow time to facilitate strengthened linkages with CSO implementation under Water for Women and/or other DFAT programs in relevant countries.

Governance and management arrangements

The governance arrangements will replicate those developed for the CSO project implementation, in that a partnership approach will contribute to maximising the effectiveness of the investment. Given the smaller size of the research component compared with the CSO projects, the arrangements will be proportionally less intensive. A **Research Steering Group** (RSG) will maintain strategic oversight over the Research Component. This group will comprise DFAT Chair, Fund Coordinator and a lead representative from each research grantee. This group will meet via telecom/webinar every 6-9 months. The role of this group will be to, at a strategic level, monitor the achievement of agreed outcomes of the Research Component, discuss ways to maximise its effectiveness and any changes in research grant management or the performance assessment approach. The RSG may at times communicate directly with the FSG (or meet at a common time), however communication is likely to primarily be through the Fund Coordinator.

The KALM of the Fund Coordinator will undertake **grant management**, drawing on administrative support as needed. This will include negotiating agreements, undertaking performance management (in terms of delivery against the agreed workplan) and facilitating links to K&L Component. Progress reporting will be based on the performance assessment framework for the Research component (see below).

Structured linkages to the **Knowledge & Learning Component** have been designed to support mutual learning and integration of research findings into the broader Fund. Representatives from funded research organisations for Type 2 Awards will be expected to

participate in the **Knowledge and Learning Advisory Group (K&L Advisory Group)**, play active roles in Fund learning events as well as contribute to other Fund-level K&L activities. Recipients of Type 1 awards (see below for explanation of types of awards) would be expected to participate in Fund K&L activities as relevant and requested.

Selection process and criteria and process

As indicated above, two competitive funding rounds will be conducted, with eligible applications assessed against the nominated selection criteria. These criteria include both organisational (or consortia) criteria as well as research project-related criteria. This approach is considered to be efficient, cost-effective and to maintain rigour, equity and accountability. Additional funding rounds or a two-stage process (involving Expression of Interest followed by full proposal) were considered, however were discounted due to the resource-intensiveness of the process, and following the lessons learned in administering the ADRAS research grants from 2007 to 2016.

Eligible organisations will include both Australian and international research organisations (or organisations with research as a core component of their mandate) with access to Ethical Approval processes.

The grant size will be AUD100-400K annually for up to 3 years.⁴² This range is expected to both support smaller, targeted research activities as well as larger longer-term activities with broad scope and multiple partners to advance a particular research agenda.

Two types of research awards will be offered however this call for proposals is only focused on ii:

- (i) WASH sector research addressing key knowledge gaps (Type 1 award)
- (ii) **Research closely linked to CSO implementation and outcomes of Water for Women Fund (Type 2 award)**

Both types of research will be required to use gender and socially inclusive research processes.

The process for selection will take place as follows:

- A **Research Selection Committee** will be formed with membership consisting of representatives from the Water for Women Fund Coordinator and DFAT, plus two external members. The external members will be specialists with broad expertise⁴³ in WASH-related research (social sciences and technical fields) and gender and socially inclusive research.
- All applications will be initially reviewed by the Research Selection Committee members against the assessment criteria and a shortlist of proposals for possible funding will be developed (through meeting virtually or face-to-face), with the Chair determining which projects are likely to be funded within the available total, given the highest scoring proposals, and identifying a limited number that may be

⁴² In extenuating circumstances, for instance for a longitudinal study, a maximum grant length of 4.5 years will be considered

⁴³ Since some topic may extend the boundaries of WASH (for instance links with other sectors) it is important that the experience of the RS Committee members is sufficiently broad.

included if any of the highest scoring proposals are deemed unsuitable or lower quality following peer review.

- Shortlisted applications for each type will then undergo external peer review by two independent peer reviewers. In parallel, comments on the applications will be sought from relevant DFAT sections and posts.
- Upon receiving the recommendations of the external peer reviewers, the Research Selection Committee will reconvene (virtually or face-to-face) and make final determinations, based on peer review findings, relevant internal DFAT feedback and the Research Selection Committee's own rankings.
- Applications will be assessed and ranked against the assessment criteria. Research Selection Committee recommendations will be based on the relative merit of the shortlisted application against the Funding Round assessment criteria and total funding available.
- Applicants will be notified by the Fund Coordinator of the Research Selection Committee's decision in writing, with successful applicants being listed on the DFAT and Water for Women websites.
- Clear and transparent mechanisms will be available throughout the assessment process for the Research Selection Committee members or peer reviewers to declare any existing or potential conflicts of interest.

An 'Impact Maximisation' extension grant will be made available on a competitive basis to high-performing research projects. This grant will support researchers and their partners to leverage research findings and relationships, undertaking follow-up activities that are expected to strengthen outcomes and impact of the research, and to monitor such results.

Implementation Plan

The selection process for the research organisations proposing Type 2 Awards will occur through December 2017 to April 2018. It is expected that full grant agreements will be signed with the Fund Coordinator by June 2018. Table 3-1 below summarises events and steps in the implementation process. Call for Proposals for Type 1 Awards will commence following completion of the CSO design process and during the initial stages of CSO implementation in order to confirm key gaps in knowledge. The specific timing of the Type 1 Research Awards will be discussed and determined by the Fund Steering Group (FSG).

Inception phase

The purpose of the inception phase is to support co-design of research with relevant partners and to facilitate strengthened linkages with the wider Water for Women Fund and/or other DFAT programs. The length of the inception phase will be variable, depending on the 'readiness' of the research organisation, however is not expected to exceed three months.

Research organisations will be supported⁴⁴ to undertake detailed research design including any necessary travel to promote effective participation of partners in the research design. For Type 2 awards associated with CSO implementation (), there will also be opportunity to

⁴⁴ Research organisations will be eligible for support of up to AUD50K for the inception phase (with research organisations to consider proportionality for smaller awards)

negotiate the details of relevant roles and engagement, and make adjustments based on the outcomes of the CSO project design process.⁴⁵

Table 3-1 Events and Timeframe for Research component

Event	Expected timeframe
Call for proposals	December 2017
Briefing for potential applicants	December 2017
Final date for submission enquiries	February 2018
Proposal deadline	February 2018
Independent peer review (two per shortlisted application)	March 2018
Selection Panel assessment of proposals for Type 2 awards	March 2018 – April 2018
Signing of WASH Research Award Agreements	May/June 2018
Research design process	May 2018 – June 2018
Approval of Joint Research and CEPI Plans	June 2018
Commencement of research implementation	July 2018
Projects completed	June 2021
Call for proposals for Type 1 Research Awards	To be decided during FSG meeting
Call for proposals for Research Impact Maximisation Grants	To be decided during FSG meeting
Proposal deadline	To be decided during FSG meeting
Extension of relevant Grant Agreements	TBA
Project commencement	TBA
Projects completed (Type 1 and Type 2)	By February 2022
Final acquittal	June 2022

Two documents will be produced during the inception phase (templates provided in Attachment 5):

- (i) Joint Research Plan (JRP)
- (ii) Communications, Engagement and Pathway to Impact Plan (CEPI Plan)

A research representative for each Award will participate in a Research Partnership Workshop (which will take place during the inception phase). This will include:

- Briefly sharing research concepts with other participants
- An initial meeting of the Research Steering Group, at which the group will collaboratively define its terms of reference and ways of working
- Contributing to plans for the K&L Component, and formulation of the K&L Advisory Group

Inputs may be made by the WASH and GESI specialists of the Fund Coordinator as regards their areas of expertise during the inception phase, including to ensure use of appropriate gender and inclusive research processes. A peer-appraisal process will be conducted by an external independent peer reviewer appointed by DFAT. Research organisations may also choose to peer-review each other's plans, on an opt-in basis.

⁴⁵ Since the WRA selection process and CSO project design process are broadly in parallel, it is possible that renegotiation of some aspects of the research grants may be required, depending on the outcomes of the CSO project design process. Research organisations are also able to partner with non-Fund CSOs, however it is preferable if they partner with Water for Women CSOs.

Implementation phase

Following approval of the JRP and CEPI plans, research implementation will commence. The implementation phase will then involve leadership by the research organisation administering their grants to carry out research activities. Formal ethical approval must be sought through a formally recognised Ethical Review Process, as well as any relevant country-specific ethics approval processes. This process can be usefully supported by application of the ACFID/RDI Network Principles and Guidelines for Ethical Research and Evaluation.⁴⁶ Research Progress reporting will be conducted on a 6-monthly basis, in line with the Performance Assessment Framework outlined below. The Fund Coordinator will be responsible for grant management, including performance management concerning delivery against agreed workplan.

During implementation, researchers will be expected to contribute to the Fund K&L Component. This will include each research organisation awarded a Type 2 grant providing a representative to contribute to the K&L Advisory Group, and active involvement to ensure proactive research communication with participants in the broader Fund.

Impact maximisation phase

The purpose of the 'Impact maximisation' grants is to provide sufficient resources to strengthen uptake, use, outcomes and impacts of funded research. These grants will be made available on a competitive basis to high-performing research projects. The Fund Coordinator will be responsible for the selection process for these grants, following the processes outlined in **Attachment 6**. The selection process will take place in late 2020, which will then allow a 1-year period for their implementation before completion by February 2022 and final acquittal before June 2022.

Roles and Responsibilities

DFAT WSH and DFAT Posts

DFAT WSH Section will provide oversight of the Research Component as part of Water for Women, coordinate with other DFAT sections and global partners and networks. Their role includes:

- Organisation of selection process and appraisal of plans at end of inception phase
- Facilitation of relationships and engagement with relevant DFAT posts during the call for proposals and research inception phase
- Strategic engagement with research organisations on progress and outcomes
- Chairing the RSG, and engaging with researchers and Fund coordinator staff in strategic oversight of this Research Component
- Oversight of the Fund Coordinator role in managing research grants
- Organising opportunity for researchers to share research and its findings as relevant to other sections within DFAT

Other DFAT policy and country program sections in Canberra will:

⁴⁶ <https://rdinetwork.org.au/resources/effective-and-ethical-research-and-evaluation/>

- Communicate relevant policy and programming information to the WSH Section
- Review and provide comment on research proposals in terms of relevance, alignment or complementarity with current bilateral, regional or other programs
- Promote and share relevant evidence and research findings with other stakeholders, as appropriate.

It is expected that DFAT's Posts will be:

- As relevant and possible, play roles to support linkage of researchers and their research with other country stakeholders toward to development outcomes in each country, consistent with Australian Aid Program objectives and priorities.

Fund Coordinator

The Fund Coordinator is expected to:

- Negotiate and administer grant agreements with research organisations
- Provide WASH and GESI inputs during Inception as appropriate and relevant
- Participate in the RSG meetings, including collaboratively preparing the agenda
- Undertake performance management (in terms of delivery against the agreed workplan) and facilitate links to the K&L Component, including promotion of research outputs and findings within and beyond Fund participants
- Receive 6-monthly progress reports and six-monthly financial acquittals from research organisations
- Synthesise relevant M&E information from the Research Component into broader Fund-wide M&E reporting
- Liaise with DFAT WSH and provide reports on progress of the Research Component implementation

The Fund Coordinator is not expected to provide review or quality assurance of research outputs, as this quality assurance is the responsibility of the implementing research organisations.

Selected research organisations

Research organisations are expected to:

- Participate in the strategic oversight of the Research Component through the RSG
- Participate in the inception phase and prepare high-quality joint plans
- Secure research ethics approval through a formal Ethical Review Process
- Implement research activities as planned, including maintaining respectful partnerships with relevant research partners (e.g. partner research organisations and/or CSOs), using gender and socially inclusive processes as relevant, and developing high-quality outputs using appropriate internal quality assurance processes
- Participate actively in the K&L Advisory Group (for Type 2 awards) and K&L activities
- Provide 6-monthly progress reports and annual financial acquittals
- Contribute to Fund-wide M&E systems
- Maintain good working relationships with partners, government officials and other relevant research stakeholders

- Maintain good working relationships with DFAT WSH and Posts
- Maintain good working relationships with and information flows to the Fund Coordinator
- Comply with laws in the countries where research is undertaken and DFAT policies and requirements relating to child protection, fraud, security and others (specified in research grant agreements)

Performance assessment

Performance assessment of the Research Component will be based on the following performance assessment framework, which links to relevant parts of the broader Fund-wide performance framework. Research organisations will be expected to report on progress and contributions to relevant outcomes using indicative reporting formats provided in **Attachment 5**. These may be amended during the Inception Period to better reflect the reporting needs of the Water for Women Fund.

Outcomes and processes	Research Component performance questions* and indicators
<p>Outcome 4: Strengthened use of new evidence, innovation and practice in sustainable gender and inclusive WASH by other CSOs, national and international WASH sector actors</p>	<p>Q: In what ways have other CSOs, governments, or other organisations (within as well as beyond Fund participants) taken up and used evidence generated through the research? How has this informed, influenced or changed policy, practice and/or discourse and thinking? What factors have facilitated uptake and use of evidence?</p>
<p>Intermediate outcome: Documentation and sharing of gender and socially inclusive evidence and effective practices with other CSOs, national and international sector actors</p>	<p>Q: What products have been created, events organised, training conducted or other processes supported for sharing inclusive research-generated evidence within and beyond the Fund, and with whom have they been shared (other CSOs, governments, and other national and/or international actors etc.) and for what purpose?</p> <p>Q: How have researchers contributed to Fund K&L activities and processes?</p> <p>I: Number of research team members participating in Fund-related webinars, e-discussions and forums</p> <p>I: Number of researcher-led events or initiatives held to share new evidence</p> <p>I: Number of externally focused information sharing products (e.g. reports, technical guides, guidance notes, policy notes, videos, synthesis of workshops)</p> <p>I: Numbers of peer-reviewed publications</p>
<p>Quality research engagement partnerships and networks</p>	<p>Q: How have end-users been involved in research design, implementation and communication?</p> <p>Q: To what extent have research activities and partnerships supported strengthened relationships and learning networks between Australian, international and partner country governments, CSOs and research organisations? How could this be improved?</p> <p>Q: How have mutual benefits from research partnerships been secured? What evidence suggests high levels of satisfaction on the part of different research partners?</p> <p>Q: How has the emphasis on gender and inclusive research processes affected research engagement, partnerships and networks?</p>
<p>Quality research capacity building</p>	<p>Q: How has the research project contributed to professional opportunities for in-country and early career researchers (particularly women), including in relation to gender and social inclusive approaches?</p> <p>Q: How has the research project helped develop attributes, skills and systems that increase quality and quantity of research conduct, uptake and use (particularly in the relevant country(ies), and including in relation to gender and inclusive research processes)?</p>
<p>Quality research management, processes and outputs</p>	<p>Q: In what ways were gender and socially inclusive research processes applied? What were enablers of good inclusive practice and challenges faced?</p> <p>Q: To what extent were the Joint Research Plan and Communication Engagement and Pathway to Impact Plans implemented (or evolved on a justifiable basis) in a timely manner and how was research quality ensured?</p>

Attachment D: DFAT funded WASH research

The following table shows past research supported by DFAT in WASH and briefly summarises some of the development outcomes achieved through this research, noting that several projects were recently completed and outcome-related information was not yet available.

Title	Description	Institution	Year	Outcomes
Crafting sustainability: addressing water pollution in Vietnam's craft villages	This research looked at how community-based approaches to water pollution in Vietnamese craft villages can successfully secure economic, social and environmentally sustainable water management.	Australian National University	2009–2011	This project worked with a key policy research agency in Vietnam to investigate key drivers for water pollution from craft villages. It reviewed policy options to address water pollution while sustaining social and economic outcomes from craft enterprises, particularly the potential role of community-based approaches.
Assessing the cost-effectiveness and sustainability of sanitation infrastructure options for peri-urban areas—a Case Study of Can Tho, Vietnam	This research investigated the relative cost effectiveness and sustainability of sanitation infrastructure options for unserved low-income peri-urban areas in Vietnam.	University of Technology, Sydney	2009–2010	Significant study in the Vietnamese context that legitimised decentralised sanitation options as economically feasible alternatives to expensive centralized sewer systems, informing subsequent major investments by Government of Vietnam and ADB. Winner of international IWA development research award.
Improving environmental and human health in the Pacific Islands through better onsite wastewater management	This research looked at the impact of wastewater pollution on both the ecosystem and human health, and how wastewater management (through a technology-eco-trench) can be improved.	Southern Cross University	2009–2011	The research tested new technology (EcoTrench) in Cook Islands. Based on the research, NZAID subsequently funded a \$3 million project that included scale up of EcoTrench in Cook Islands, Nauru and Tonga to reduce nutrient contamination in groundwater. The Cook Islands Government also significantly increased its installation efforts of improved septic tank treatment systems as a result of this research.
Making the invisible visible: documenting successes, enablers and measures of gender equality in water and sanitation initiatives in the Pacific (<i>funded under gender</i>)	This research investigated the gender outcomes associated with WASH programs implemented by civil society organisations in Vanuatu and Fiji using a strengths-based participatory research design.	University of Technology, Sydney	2009–2011	Contributed to greater recognition of gender aspects of WASH programming and potential to influence women's leadership using WASH as a strategic entry point, including within DFAT, amongst NGOs and other development agencies. Contributed to DFAT's adoption of aggregate development result (ADR) on women's participation in community-level committees.

Title	Description	Institution	Year	Outcomes
<i>equality priority theme)</i>				Guidance materials produced on supporting gender outcomes in WASH programming have been widely used and adopted by civil society organisations within and beyond the Pacific.
Community management of rural water supply systems	This research investigated functioning 'community managed' rural water schemes across India (a necessarily large sample size) in order to determine the extent of direct and indirect support required to sustain services with a valid level of community engagement. Location: India	Cranfield University	2013–16	This research project developed typologies of support to community management, documented 20 successful cases across India, and clarified the significant ongoing institutional support (and its costs) needed for community management to achieve reliable services. Engagement with officials from more than half the states in India through three exposure visits and a capacity building model aimed at national and State officials is expected to support uptake and use of the research so States can self-assess their rural water supply performance and identify points of improvement.
Civil society support for water and sanitation services for the poor	Research to strengthen the quality and impact of civil society organisation (CSO) work in facilitating private and social enterprise involvement to sustainable water and sanitation services for the poor. It also addressed how equitable outcomes—including gender equity—are best supported. Locations: Indonesia, Timor-Leste, Vietnam	University of Technology, Sydney	2013–16	Contributed to changes in civil society organisation practice, including in sanitation marketing approaches (to recognize limits of market-based approaches in remote areas and adopt complementary strategies) and in supporting water enterprises to achieve equitable outcomes. Contributed to modification of approaches by Indonesian Ministry of Health and Nusa Tenggara Timur Province for supporting sanitation enterprises based on improved understanding of entrepreneurial traits. Contributed to evolution of Government of Vietnam's approaches to attract private investment in water service provision and its regulation.
Supporting the demand for rural water and sanitation services in the Pacific	To increase understanding of rural water and sanitation markets and the demand for services in the Pacific region. The research findings will provide WASH sector stakeholders with documented guidance, advice and support on enabling sustainable, demand-driven water and sanitation services. Locations: Papua New Guinea, Vanuatu, Fiji, Solomon Islands	International Water Centre	2013–16	Demonstrated importance of informal, culturally determined, self-supported marketing-exchanges to support access to services in peri-urban and urban informal areas, which are not addressed through WASH policies in Melanesian Pacific Island Countries. However, these need broader support by enabling actors to move beyond expectations for a 'welfare approach', and instead empower self-determined action to address local challenges.

Title	Description	Institution	Year	Outcomes
Managing sanitation service delivery for poor urban areas	This research aimed to fill a critical gap in the governance (both day-to-day management and institutional arrangements) for decentralized (community-scale) sanitation service delivery. Location: Indonesia	University of Technology, Sydney	2013–16	Developed recognition of the critical need for improved management, regulations and performance monitoring of the 25,000 community-scale systems by local governments, leadership on this matter by Bappenas (National planning agency) and local NGO AKSANSI. Guidance materials to support localised decision-making on management approaches adopted and used by AKSANSI. Follow-up work supported through DFAT-funded Indonesia Infrastructure Facility demonstrated improved local government management of systems in two cities and changes required in Ministry of Public Works national program guidelines to support more sustainable outcomes.
Disability and its impact on safe hygiene and sanitation	This project aimed to fill knowledge gaps relating to water, sanitation and hygiene access, needs and barriers for people with disabilities. The research collaborated with key stakeholders and policymakers to develop effective mitigation strategies. Location: Bangladesh, Malawi	London School of Hygiene and Tropical Medicine	2013–16	Developed quantitative and qualitative tools to assess access to WASH for people living with a disability. Trialed an intervention to increase inclusion of people with disabilities within a sanitation project (CLTS) which demonstrated strong needs of implementers and householders to result in actual change in access to sanitation for these groups.
Climate change and water supply and sanitation on atolls and flood-prone catchments in the Pacific	This project developed a framework that will enable communities and water managers to navigate from understanding impacts of climate change to evaluating adaptation options for water supply and sanitation. The research produced tools to aid stakeholders throughout the Pacific in adapting to climate change. Locations: Solomon Islands, Marshall Islands, Vanuatu	International Water Centre	2013–16	This project applied a systems approach to understanding WASH and climate change risks in rural communities in Pacific Island Countries, with two case studies: flood-prone catchments in the Solomon Islands, and drought-prone atolls in the Republic of the Marshall Islands. The research team worked with communities, governments and civil society groups to enhance understanding of existing WASH systems and adaptation approaches, and to develop tools to support adaptation decision-making for sustainable management of water resources and drinking water supplies in remote and rural communities.

Attachment E: Indicative Reporting Templates

WASH Research Awards Reporting Templates

The template provided is indicative and will be refined during the inception phase in partnership with the Fund Coordinator, DFAT and the research organisations in order to meet the reporting requirements of the Fund and DFAT.

Section E.1: Six Monthly Progress Report/Annual Report and acquittal template

The following template should be used on a six monthly and annual basis and for the Final Report at the end of the grant. Notes/instructions may be deleted when responses are entered.

Agreement Number	
Project Title	
Administering Organisation	
Principal Investigator	
Total Australian Aid funding received during reporting year (AUD\$)	
Ethics approval status (please attach evidence of approval to this report)¹	

<p>1. What are the aims and objectives of the research? <i>Limit 150 words.</i></p> <ul style="list-style-type: none"> This may include both practical and higher order objectives. For example: <ul style="list-style-type: none"> To contribute new knowledge on a particular development issue To improve, contribute to or influence policy/program change To increase capacity of researchers, including those in developing countries, and other professionals to undertake inclusive research and use research findings.
<p>2. Please outline the progress made towards achieving the research objectives during the reporting period? Did your research progress as planned? If not, why not? <i>Limit 600 words.</i></p> <ul style="list-style-type: none"> Referring to your Joint Research Plan and relevant workplan, please detail key activities completed that are contributing to your objectives. Please indicate any issues that could affect the ability of the research team to meet the research objectives. For example: <ul style="list-style-type: none"> delays in the research process changes to the geographic focus/research objectives changes to research team personnel/local partners How will these issues be managed by the research team going forward? How did the research progress as regards the use of gender and inclusive aspects or processes?
<p>3. How is quality of research implementation being ensured, including with respect to use of gender and inclusive research processes?</p> <ul style="list-style-type: none"> In what ways were gender and socially inclusive research processes applied? What were enablers of good practice and challenges faced? How has research quality been ensured?
<p>4. What activities have been undertaken to engage key stakeholders or end-users in the research? <i>Limit 300 words</i></p> <ul style="list-style-type: none"> Referring to your Communications, Engagement and Pathway to Impact Plan, please provide information about the specific external people/groups you have engaged, how you have engaged with them and any results to date of this engagement Specifically, how have end-users been involved in research design (including gender and inclusion aspects), implementation and communication?

¹ If already provided in a previous report, state this in the table.

- Report *significant* engagement only i.e. where there was a substantive contribution to work, not just advice / participation in consultations or workshops
- Please use the following table to record this information (add rows as required)

External Individuals / Groups / Networks (research stakeholders and/or end-users)		
External Individual / Group / Network engaged ²	Duration of engagement ³	Nature and results to date of the engagement?

4. What knowledge outputs have resulted from the project so far? Please provide the copies of these outputs with this progress report.

- Document original contributions to knowledge – this should be a new insight / understanding / tool. Not all outputs will be new knowledge. Outputs must be based on your project.
- List the full title of the output in the table. Any one knowledge output should only be recorded in one category

Knowledge outputs				
Type of output	Title/description of output	Published Y/N?	Source (provide hyperlink)	Number
Literature review / scoping study / research report				
Tool / guide / guidance materials				
Conference paper/poster/ presentation				
Academic paper (journal article/working paper/book chapter/monograph)				
Policy document (Policy brief/research brief /recommendations /seminar)				
Blog/ social media/ traditional media / video				
			No of total outputs:	

5. What other communications and engagement activities have taken place to share evidence (beyond the response recorded in Q3)?

- To what extent has your Communications and Engagement Pathway to Impact Plan been implemented as planned?

² *Engaged*: State the name of the organisation / institution / group / network and any relevant individual or key contact personnel involved

³ *Duration of engagement*: State whether the engagement is 'new' i.e. commenced as part of the Water for Women Fund or 'existing' and include the years of engagement e.g. 2015, 2016, 2017

- If applicable, please summarise any issues that affected the ability of the research team to communicate research findings to achieve outcomes. For example:
 - delays in publication of research findings
 - changes to political contexts in which the research findings were presented
 - changes to key stakeholders/supporters of the research
- Please document how these challenges were addressed/what was learnt that might be useful to researchers/future research
- In the table below, also document events organised, training conducted or other processes supported for sharing research-generated evidence within and beyond the Fund, and with whom have they been shared (other CSOs, governments, and other national and/or international actors etc.) and for what purpose?

Communication and engagement activities			
Communication Method ⁴	Target audience and purpose of engagement	Audience Reached ⁵	Response ⁶

6. To date, in what ways have other civil society organisations, governments, and/or other organisations (within as well as beyond Water for Women Fund participants) taken up and used evidence generated through the inclusive (in its process) research? How has this take-up informed, influenced or changed policy, practice and/or discourse and thinking? What factors have facilitated uptake and use? *Limit 500 words*

- Where appropriate, please include **case studies** to illustrate in more detail specific successes/innovations/challenges in progressing/meeting one or more of the research objectives. Case studies can be used to illustrate changes in attitudes, behaviours, policies or practices as a result of research activity/ies. The case studies should:
 - focus on activities that most directly contribute to the achievement of research objectives
 - provide explanation of a causal link between activities (including, where appropriate, gender and socially inclusive aspects) and the relevant objective/s
 - provide an estimation of the level of attribution that can be claimed for the activity in the achievement of the outcome

7. How have researchers contributed to Water for Women Fund Knowledge and Learning activities and processes?

- Please include in your response the number of research team members participating in Fund-related webinars, e-discussions and forums

7. How have mutual benefits from research partnerships been secured? What evidence suggests high levels of satisfaction on the part of different research partners?

- Please include in your response both partnership with in-country research partners as well as any other partners

8. What activities have been undertaken to expand the capacity of the researchers, particularly those in developing countries, and other professionals to undertake research and/or use research findings.

⁴ *Communication Method*: General statement of method e.g. workshop, seminar, meeting, conference, teaching, course, social media etc.

⁵ *Audience Reached*: Specify level as well as estimate proportion of intended target audience reached, where possible. Include gender breakdown

⁶ *Response*: Qualitative assessment of response or sign of attention paid to the communication by the target audience E.g. expressions of interest; requests for more information; active participation and engagement; provision of comments or feedback. May include negative responses.

- How has the research project contributed to professional opportunities for in-country and early career researchers, including in relation to gender and social inclusive approaches?
- How has the research project helped develop attributes, skills and systems that increase quality and quantity of research conduct, uptake and use (particularly in the relevant country(ies)), and including in relation to gender and inclusive research processes)?

9. To what extent have research activities and partnerships supported strengthened relationships and learning networks between Australian, international and partner country governments, CSOs and research organisations? How could this be improved?

10. Financial Snapshot

Please provide a final financial snapshot of your budget and expenditure for the project below. This snapshot is in addition to the financial acquittal statement required with this report. The financial acquittal statement should include your expenditure of grant monies for the reporting period and be signed by an appropriate delegate from your accounts/finance office. The financial acquittal statement should be on your institution's letterhead.

Budget Allocations (A\$) – As per proposal

	1 st Year	2 nd Year	3 rd Year	Total
Researcher/s Salary				
Field Work Costs				
Travel and Related Costs				
Insurances				
Knowledge Transfer Activities				
Capacity Development Activities				
Total Australian Aid Funds Received				
Interest Earned on Australian Aid Funds				
Total Income from Australian Aid				

Total Expenditure (A\$)

	1 st Year	2 nd Year	3 rd Year	Total
Researcher/s Salary				
Field Work Costs				
Travel and Related Costs				
Knowledge Transfer Activities				
Capacity Development Activities				
Insurances				
Total Australian Aid Funds Expensed				

Total Australian Aid Funds Un-expensed:

9. Certification

I certify that all the details contained in this progress report are true and that all research partners and co-investigators agree that this report is an accurate representation of the projects progress so far.

Signed, Principal Investigator

Date

Attachment F: Impact maximisation extension grant process

WASH Research Awards

Impact maximisation extension grant process

An 'Impact Maximisation' extension grant will be made available on a competitive basis to high-performing research projects. This grant will support researchers and their partners to leverage research findings and relationships, undertaking follow-up activities that are expected to strengthen outcomes and impact of the research, and to monitor such results. \$500K has been allocated for this purpose.

The inclusion of this extension grant is based on lessons learned from DFAT funded Australian Development Research Scheme Award grants and DfID's research funding approaches. Both of these identify the need to incentivise researchers to give focus to maximising impact, and the necessity of funding beyond the life of a research grant to support and monitor such impact.

Expected grant size: AUD 30 000 – 80 000 over approximately one-year duration

Eligibility: Recipients of WASH Research Awards (Type 1 or Type 2) who have demonstrated good progress and are on track to complete planned research activities within the grant time-period.

Eligible activities: The Impact maximisation extension grant is expected to support the following types of activities (or related activities relevant to the research project):

- Continued strategic follow-up engagement with key end-users (e.g. policy-makers, practitioners etc.) in the form of meetings, forums, events, mentoring, policy review etc. in relation to research findings
- Further translation of research findings and outputs into useable tailored formats for specific audiences
- Development of training and/or capacity building activities to targeted audiences based on the research findings
- Support for knowledge intermediaries/brokers to further disseminate research findings
- Continued monitoring of research uptake, use and relates outcomes (and socio-economic impacts, as applicable)

Selection process: The Research Steering Group will advise DFAT on whether a single timed grant round is most suitable, or a staggered process (where as research organisations reach the final 6 months of their grant period they may apply for the extension grant, and available funds are allocated until fully expended). It is expected that a relatively simple, administratively un-burdensome process is adopted (for either Fund Coordinator or Research Organisations), given that good progress within the existing grant will be a pre-requisite.

Reporting: A reporting format that builds on and appropriately modifies the existing annual reporting will be developed by the Fund Coordinator in consultation with the Research Steering Group.

Attachment G: 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>

Adviser Performance Assessment (APA)

DISCLOSURE STATEMENT:

DFAT uses APAs to assess and assist in consistently reinforcing expectations and assessing performance to identify opportunities for enhancing individual Adviser performance. It acknowledges where Adviser performance is satisfactory (or above) and identifies where performance is unsatisfactory (or below) to ensure value for money is being achieved.

Input from APAs is also used in tender evaluations when assessing nominated personnel, and to provide supporting evidence for future Adviser remuneration considerations, in line with the Adviser Remuneration Framework. APAs are DFAT owned documents stored in its information and records management systems. APA information can be used for internal DFAT purposes and de-identified performance reporting to the public and the Government, including but not limited to, informing future procurement evaluations by tender Evaluation Committees, partner selection decisions, funding to multilateral organisations, partner governments and DFAT's aid program publications. Partners will be de-identified for the purposes of performance data analysis used in public reporting, unless there is a legal duty to do so. Partners must seek DFAT's written consent to share APAs with third parties.

NOTES FOR COMPLETING:

1. This form is to be used by DFAT and/or its implementing Partners for assessing Adviser performance.
2. An Adviser Performance Assessment (APA) is undertaken on completion of an adviser contract, or annually for engagements longer than one year in duration.
3. DFAT or the relevant MC may seek the views of Partner Government officials involved in the activity when completing the APA.
4. Where underperformance is identified in an APA, practical steps to rectify the performance issues must be put in place. Where underperformance is not sufficiently rectified, there must be practical consequences.
5. In all cases, Advisers must be given 15 working days to review and sign the APA.
6. Completed APAs must be emailed to contractor.performance@dfat.gov.au.

NOTES FOR ADVISERS:

1. Advisers are required to sign completed APAs within 15 working days of receipt.
2. Advisers may include a written response with the APA to address any issues raised.
3. Responses must be returned to the party conducting the APA (i.e. DFAT or Managing Contractor)
4. Failure to respond within 15 working days of receipt is deemed as acceptance of the APA.
5. Completed APAs are placed on DFAT's performance register and remain valid for five (5) years.
6. APAs, including written responses from Advisers, can be used by DFAT as part of a future adviser selection process.
7. APAs may be provided by DFAT to other Partner (Government, Multilateral etc.) procurement processes which involve DFAT funds.

Summary

Adviser Name	<i>Adviser Name</i>	Agreement Name	<i>Agreement Name</i>
Managing Contractor	<i>Name of Commercial Partner</i>	Agreement Number	<i>Agreement Number</i>
Agreement Start Date	<i>Start Date of Agreement</i>	Agreement End Date	<i>End Date of Agreement</i>
Reporting period start date	<i>Start Date of the Reporting Period covered in this APA</i>	Reporting period end date	<i>End Date of the Reporting Period covered in this APA</i>
Total Value	<i>\$AUD</i>	Country/Region	<i>Country / Region Name</i>
Report drafted by	<i>Name</i>	ARF Classification	<i>Professional Discipline/Job Category</i>
Approved by	<i>Counsellor / Director Name</i>	Date approved	<i>Date Approved</i>

Australian Aid – Rated Performance Criteria

Rate each statement using the following six point scale as a guide.

Satisfactory		Less than satisfactory	
6	Very good; satisfies criteria in all areas	3	Less than adequate; on balance does not satisfy criteria and /or fails in at least one major area
5	Good; satisfies criteria in almost all areas	2	Poor; does not satisfy criteria in several major areas
4	Adequate; on balance satisfies criteria; does not fail in any major area	1	Very poor; does not satisfy criteria in any major area

1. Deliver Lasting Results and Impact – Is the adviser achieving the agreed deliverables?

a) Achieves results and delivers on time; ensuring deliverables are of high quality, accurate and meet the defined requirements.	1	2	3	4	5	6
b) Progress in capacity building and knowledge transfer to key counterpart(s), as per the defined requirements.	1	2	3	4	5	6
c) Demonstrates effective leadership and management, as per the defined requirements.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

2. Demonstrated effective, ethical, efficient and economical use of resources – Does the adviser demonstrate Value for Money principles in their approach to the defined requirements?

a) Delivers defined services within budget.	1	2	3	4	5	6
b) Applies lessons learnt to enhance value for money.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

3. Collaboration, Communication and Responsiveness – Does the adviser work collaboratively, communicate effectively with stakeholders and respond effectively to emerging issues?

a) Demonstrates professional conduct and cultural sensitivity by communicating effectively, working collaboratively and building effective relationships.	1	2	3	4	5	6
b) Demonstrates appropriate flexibility and responsiveness to DFAT (and/or its implementing partner) and the Partner Government's requests.	1	2	3	4	5	6
c) Addresses problems/issues openly and constructively.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

4. Risk Management – Does the adviser effectively manage risk and operate in a manner consistent with DFAT policies?

a) Effectively manages risks and informs DFAT of any risks or issues that may adversely affect timing, cost or quality of services.	1	2	3	4	5	6
b) Takes appropriate account of DFAT policies including on Child Protection, Environmental and Resettlement safeguards; Gender Equality and Disability Inclusive Development.	1	2	3	4	5	6

Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

5. Other Contract Specific Measurable(s)

<i>[Add as required]</i>	1	2	3	4	5	6
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Supporting evidence is required if a rating of 3 or below or 6 is given (no more than 300 words).

<i>DFAT Representative</i>	<i>DFAT Partner Representative</i>	<i>Adviser</i>
Name:	Name:	Name:
Signature:	Signature:	Signature:
Date:	Date:	Date:

Partner Performance Assessment (PPA)

(EXAMPLE ONLY – Smart PDFs are downloaded from AidWorks)

Instructions:

It is mandatory to complete an annual PPA for NGOs, commercial suppliers and multilateral partners with agreements valued \$3 million and above. Core contributions to multilateral organisations and agreements of an administrative nature are exempt from completing a PPA. PPAs are usually completed by Agreements Managers and based on the most recent 12 month period where performance information is available.

Partners must be given a minimum of 15 working days to review and endorse the assessment. PPA must be approved by a relevant EL2 officer or above. The completed PPA (Smart PDF) must be uploaded directly into AidWorks by 1 May.

For further information please refer to the Good Practice Note, or contact the relevant partner area: for NGOs contact ngoengagement@dfat.gov.au, for multilateral organisations contact aidriskmanagement@dfat.gov.au, for commercial suppliers contact contractor.performance@dfat.gov.au.

Disclosure Statement:

DFAT uses PPAs to assess how well implementing partners are delivering the services required in aid agreements and to inform future funding decisions. PPAs are DFAT owned documents stored in its information and records management systems. PPA information can be used for internal DFAT purposes and de-identified performance reporting to the public and the Government, including but not limited to, informing future procurement evaluations by tender Evaluation Committees, partner selection decisions, funding to multilateral organisations, partner governments and DFAT's aid program publications. Partners will be de-identified for the purposes of performance data analysis used in public reporting, unless there is a legal duty to do so. Partners must seek DFAT's written consent to share PPAs with third parties.

Summary

Agreement name	Agreement name		
Partner's name	Name of NGO, commercial supplier or multilateral organisation	Agreement number	Agreement Number
Agreement start date	Start Date of Agreement	Agreement End Date	End Date of Agreement
Reporting period start date	Start date of the reporting period covered in this PPA	Reporting period end date	End date of the reporting period covered in this PPA
Total value	\$AUD	Country/Region	Country / Region Name
Report drafted by	Name	Sector	Sector Name
Approved by	Counsellor / Director Name	Date approved	
Partner type	<input type="radio"/> NGO <input type="radio"/> Commercial Supplier <input type="radio"/> Multilateral Organisation <input type="radio"/> Other		
Agreement type	<input type="radio"/> Procurement <input type="radio"/> Grant		

Australian Aid – Rated Performance Criteria

Rate each statement using the following six point scale as a guide.

Satisfactory		Less than satisfactory	
6	Very good; satisfies criteria in all areas	3	Less than adequate; on balance does not satisfy criteria and /or fails in at least one major area
5	Good; satisfies criteria in almost all areas	2	Poor; does not satisfy criteria in several major areas
4	Adequate; on balance satisfies criteria; does not fail in any major area	1	Very poor; does not satisfy criteria in any major area

1. Deliver Lasting Results and Impact - Is the delivery partner achieving agreed objectives and results and promoting sustainability?

a) Results focused and delivers on time, ensuring deliverables are of high quality, accurate and meet the defined requirements	1	2	3	4	5	6
b) Undertakes sound monitoring and evaluation reporting that includes quantitative and qualitative evidence of progress against objectives	1	2	3	4	5	6
c) Promotes sustainability and where applicable, is prepared for transition in/out of the activity	1	2	3	4	5	6

Assessment

Text is required for all ratings (1 – 6). Provide evidence and analysis to support the overall assessment and indicate the extent to which we are achieving the results expected at this time.

(no more than 300 words)

Overall rating	1	2	3	4	5	6
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2. Maximise Value for Money (VfM) – Is value for money being delivered ensuring effective, ethical, efficient and economical use of funds?

a) Committed to eliminating inefficiency and duplication and applying lessons learnt to enhance VfM	1	2	3	4	5	6
b) Delivers defined services within budget (predicted budgets compare well to actual expenditure)	1	2	3	4	5	6
c) Scrutinises costs to pursue the most cost-effective options and considers proportionality in planning/allocating resources	1	2	3	4	5	6
d) Robust systems and procedures in place to monitor and manage VfM during implementation	1	2	3	4	5	6

Assessment

Text is required for all ratings (1 – 6). Provide evidence and analysis to support the overall assessment and indicate the extent to which value for money is being delivered.

(no more than 300 words)

Overall rating

1 2 3 4 5 6

3. Collaboration, Communication and Responsiveness – Does the partner work collaboratively, communicate effectively with stakeholders and respond effectively to emerging issues?

a) Communicates effectively with stakeholders and counterparts (including partner government, other donors, private sector, communities and beneficiaries as appropriate), works collaboratively, builds effective relationships and ensures DFAT is consulted on key developments and emerging issues	1	2	3	4	5	6
b) Demonstrates appropriate flexibility and responsiveness to DFAT requests and addresses problems/issues openly and constructively	1	2	3	4	5	6

Assessment

Text is required for all ratings (1 – 6). Provide evidence and analysis to support the overall assessment and indicate the extent to which the partner effectively communicates with stakeholders.

(no more than 300 words)

Overall rating

1 2 3 4 5 6

4. Policy Alignment, Risk Management and Innovation – Does the partner operate in a manner consistent with DFAT policies and priorities, effectively managing risk, fraud and corruption, and promoting innovation?

a) Partner takes appropriate account of DFAT policies including on Child protection, Environmental and Resettlement safeguards, Gender Equality and Disability Inclusive Development	1	2	3	4	5	6
b) Has effective systems for identifying, managing and reporting risk, fraud and corruption and informs DFAT of risks/issues that may adversely affect timing, cost or quality of services as agreed	1	2	3	4	5	6
c) Partner follows branding guidelines, including use of the DFAT crest and Australian Aid Identifier, and promotes the visibility of Australian Government funded aid investments as appropriate	1	2	3	4	5	6

Innovation

(This is not a performance standard. A low rating against this question does not necessarily result in a poor performance assessment)

d) Partner proposes and implements innovative development approaches (e.g. results-based aid; trialling/adapting new technologies), leveraging new partnerships/sources of finance, whilst mitigating associated risks	1	2	3	4	5	6
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Assessment

Text is required for all ratings (1 – 6).

(no more than 300 words)

Overall rating

1 2 3 4 5 6

5. Effective partner personnel – Does the partner provide personnel with appropriate skills and experience and manage them effectively?

a) Senior personnel demonstrate effective leadership and management, achieve results against agreed responsibilities and communicate effectively	1	2	3	4	5	6
b) Head/Regional Office provides effective support and oversight to the in-country team	1	2	3	4	5	6
c) Recruitment and management of staff is conducted in a timely and professional manner and DFAT has been alerted to any recruitment/staffing issues	1	2	3	4	5	6

Assessment

<i>Text is required for all ratings (1 – 6).</i>						
(no more than 300 words)						
Overall rating	1	2	3	4	5	6

6. Other Agreement Specific Measurable(s) -

<i>If necessary, use the fields below to add any indicators specific to the partner performance agreement.</i>						
a) [Add as required]	1	2	3	4	5	6
b) [Add as required]	1	2	3	4	5	6
c) [Add as required]	1	2	3	4	5	6
d) [Add as required]	1	2	3	4	5	6

Assessment

(no more than 300 words)						
Overall rating	1	2	3	4	5	6

7. General Comments

<i>Use this text box to record any other information relevant to the performance of the partner. If there is insufficient space, a separate pdf can be uploaded to AidWorks. Advise here where additional information can be found, if applicable.</i>						
(no more than 500 words)						

Partner Acknowledgement

I/we endorse this Partner Performance Assessment.

Name:	
Position:	
Date:	

OR

I/we do not endorse this Partner Performance Assessment and attach a written statement detailing the reasons for this.

Name:	
Position:	
Date:	

OR

No comment received from the partner within the requisite period (partners should be given at least 15 working days to endorse ratings).

Name:	
Position:	
Date:	