



**DANUBE
WATER
PROGRAM**

Smart policies, strong utilities, sustainable services

**Danube Water Program
Call for Applications for Grants
for the Strengthening of National Water and Wastewater Associations**

Grant Application Form

Deadline for submission of Application:
October 31, 2016*

Dossier No	
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(for official use only)

Name of the applicant:	
Nationality of the applicant:	
Title of the action:	
Total cost of the action / Amount requested from the Danube Water Program in EUR	
Total duration of the action in months:	

Important Notice:

Water Supply and Wastewater Associations, which have a developed Business Plan, are allowed to seek a Grant per this Call for Applications for Grants. Action that will be financed by this Grant have to be defined as one of the priority actions in a respective Business Plan of the Water Supply and Wastewater Association.

There are therefore two possible approaches:

1) Associations with Business Plan. WSS Associations will submit their Business Plan to IAWD Technical Secretariat for overall review. If a submitted Business Plan satisfies minimum conditions on what a Business Plan should contain (please see Annex 1 – ToR for Development of a Business Plan for Water and Wastewater Association), IAWD TS will provide a positive outcome of the review to the Association and ask the Association to fill in this Grant Application Form, which will be the basis to finance priority action(s) of the Business Plan of the WSS Association.

2) Associations without Business Plan. If the WSS Association does not possess a developed Business Plan, it can first seek for the financial resources from the IAWD Technical Secretariat to fulfil this task. The request has to follow minimum preconditions as defined in the Annex 1 – ToR for Development of a Business Plan for Water and Wastewater Association. Minimum requirements regarding professional background of the staff / experts who will work on development of a Business Plan are specified in the ToR. Consequently, the WSS Association can decide either to use “in-house” capacity or to engage external experts to support the Association in developing a Business Plan.

After a Business Plan is completed and reviewed by the IAWD Technical Secretariat, the Association can seek grant funds according to this Grant Application Form to finance priority action(s) of the business plan of the WSS Association.

Deadline for Submission of Application

Applications can be submitted before the official deadline of October 31, 2016. The IAWD Technical Secretariat will process each Application immediately after its receipt.

I The Concept Note

✓ **Form of the Concept Note**

The concept note should not exceed 3 full pages (A4 size) and should respond, in the same sequence, to the headings listed below. It is expected that the size of each section will reflect the relative importance of each heading. The applicant may provide any additional information that he may deem useful for the evaluation, but which might not have been specifically requested (e.g. added value and/or synergy with other similar interventions - past, present, or planned - past activities, etc.). The evaluation will be carried out based solely on the information provided by the applicant in the concept note. The Concept note has to be drafted as clearly as possible in English language to facilitate its assessment.

✓ **Relevance of the Action**

Include information on (a) the aim of the action, (b) the target group(s) and (c) the main activities. Clearly indicate the relevance of the action towards the Business Plan of the Water Utility Association. It is anticipated that capacity building and knowledge sharing activity will be one of the core activities of many WSS Associations and these activities would be linked to the Activity RC.3: D-LeaP Danube Learning Partnership for sustainable WSS services as stated in the Phase II Work Plan which can be downloaded at: www.danube-water-program.org. However, the actions supported are not limited to those mentioned above, and any action that clearly contributes to the Business Plan and therefore the strengthening of the association is in principle eligible.

✓ **Description of the Action**

Describe the action planned, including the objectives, and expected results, and key indicators of success. The action shall be based upon the Business Plan. This grant funding will provide an incentive for the Business Plan implementation and Associations' active development. This should include:

- ✓ a description of the overall objective of the action, outputs and expected results, and 1-2 indicators of success. General presentation of the action has to demonstrate the relevance of the proposal to the objectives as indicated in the Associations' Business Plan.
- ✓ a proposed action(s) will have to be implemented in at least two tranches. Only if intermediary result of the first tranche is satisfactory (meaning that the targets of the Business Plan for that activity have been achieved), continuation of the second part of the action will be approved.

✓ **Conditionality**

The Association bidding for this Grant must have developed a Business Plan. In a case that the Association has no Business Plan, there is a possibility to seek financial support to develop or update a Business Plan. Minimum content of the Business Plan (Terms of Reference) are attached to this Call for Applications for Grants for National Water and Wastewater Associations.

✓ **Sustainability**

Describe the mechanisms to ensure sustainability of the action including the possible replicability and extension of the action outcomes. An initial assessment of the long term sustainability and replicability of the action, as well as the way to secure long term sustainability after completion of the action (sustainable impact on the target groups, multiplier effects, changes, etc.) should be explained.

✓ **Description of the National Water and Wastewater Association**

Describe the Association and capacity to carry out the action proposed. State what are the main activities of the Association and membership structure. Describe role and involvement of members in implementing the proposed action.

Describe resources of your Association: the number of full-time and part-time staff by category (e.g. project managers, accountants, etc.) and other relevant resources like volunteers, associated organisations, networks that might contribute to implementation of the action.

✓ **Budget**

Provide a basic budget for the overall action with specific information about the elements to be funded by the Program.

II Applicant

Full legal name	
Acronym (where applicable)	
Official address	
Contact person	
Telephone number	
e-mail	
Internet site	

Any change in the addresses, phone numbers and in particular e-mail, must be notified in writing to the IAWD Technical Secretariat. The IAWD TS will not be held responsible in case it cannot contact an applicant.

III. DECLARATION BY THE APPLICANT FOR CONCEPT NOTE

The applicant, represented by the undersigned being the authorised signatory of the applicant, and, in the context of the present call for proposals, representing any partners in the proposed action, hereby declares that:

- it has the sources of financing and professional competence and qualifications specified in the Call for Applications;
- it undertakes to comply with the obligations foreseen in the application form and with the principles of good partnership practice;
- it is directly responsible for the preparation, management and implementation of the action with its partners (if any) and is not acting as an intermediary;
- if selected, it is in a position to deliver immediately, upon request, supporting documents needed;
- it and each partner (if any) are eligible in accordance with the criteria set out under sections the Guidelines for Applicants;
- performance outcomes from the work will be shared and made available to other interested parties

Signed on behalf of the applicant

Name	
Signature	
Position	
Date	

GUIDELINES FOR THE GRANT APPLICANTS

FINANCIAL ALLOCATION

The overall indicative amount made available under this Call for proposals is € 300,000. The contracting authority reserves the right not to award all available funds.

Size of grants

Any grant awarded under this programme must fall under the following maximum amount of the IAWD TS project contribution, which is defined as EUR 20,000.

The above amount includes for development / update of the WSS Associations' Business Plan.

ELIGIBILITY CRITERIA

Duration

The duration of an action may not exceed 18 months.

Location

Actions must take place in the countries of the Danube Water Program: Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Kosovo, FYR Macedonia, Moldova, Montenegro, Romania, Serbia and Ukraine.

Type of actions

Relevant actions are those that are supporting the Association's overall sustainability, performance and effectiveness and are included in the business plan. The action should ensure an incentive for the Business Plan implementation and Associations' active development. It is anticipated that capacity building and knowledge sharing activity will be one of the core activities of many WSS Associations and these activities would be linked to the Activity RC.3: Regional Training Partnership as outlined in the Work Plan (published on: www.danube-water-program.org).

However, applicants are also encouraged to propose any action, which is not directly supporting the above thematic areas of the Danube Water Program, but is of relevance for an improvement and strengthening of their Association and the membership base.

If the following types of action are improving overall sustainability and performance of the Association, they will be also considered as an eligible action; they would however be established on a clear financially sustainable path:

- ✓ Purchasing of equipment if necessary for a facilitated work of the Association,
- ✓ Supporting staff who would work on a proposed priority action, if not available within the Association,
- ✓ Sponsorships for organisation of workshops, seminars, conferences, congresses,
- ✓ and similar actions

Number of proposals and grants per applicant

The lead applicant may submit only one proposal and be awarded one grant under this call for proposals.

Eligibility of costs

To be eligible under this call for proposals, costs must:

- ✓ be necessary for carrying out the action, be provided for in the contract procurement and budget plan and comply with the principles of sound financial management, in particular value for money and cost-effectiveness;
- ✓ Be procured and carried out in accordance with the Grant Operating Manual;
- ✓ have actually been incurred by the beneficiaries or their partners during the implementing period for the action
- ✓ be recorded in the Beneficiary's or the Beneficiary's partners' accounts or tax documents, be identifiable and verifiable, and be backed by originals of supporting documents.

Ineligible costs

The following costs are not eligible:

- ✓ items already financed in another framework;
- ✓ currency exchange losses;
- ✓ taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations authorise coverage of taxes;

Financing schedule

The grant will be provided in two tranches, with the second tranche subject to satisfactory completion of the first tranche. The amount of the first tranche cannot be more than 10,000 Euros and its duration cannot be more than one year.

For this purpose, in its application, the applicant will:

- ✓ Clearly state the activity to be undertaken in each one of the tranches and their respective costs;
- ✓ Identify which objectives of the business plan will be supported by the activity (primarily expected to be expressed in: revenue generated, membership increases), and what targets are expected to be achieved by the end of the first tranche.

The financing of activities under the second tranche will only be provided if the target(s) of the first tranche are achieved. If the targets are partially achieved, the financing of the second tranche will be reduced accordingly. If the level of achievement of the target is less than 50%, no financing will be provided for the second tranche.

HOW TO APPLY, AND THE PROCEDURES TO FOLLOW

Where and how to send the applications

Applications must be received in a sealed envelope by registered mail or by e-mail at the address below:

IAWD – Technical Secretariat
 c/o World Bank
 Attn: Violeta Wolff
 A-1020 Vienna
 Praterstrasse 31, 20th floor
 e-mail: Violeta Wolff: wolff@iawd.at with a copy to Philip Weller: weller@iawd.at

Deadline for receipt of applications

The deadline for the receipt of applications is October 31, 2016 at 16.00 hrs. Any application received after the deadline will be automatically rejected.

Further information

Questions may be sent by e-mail no later than 10 days before the deadline for the receipt of proposals to the addresses listed below, indicating clearly the reference of the call for proposals:

Attn. Violeta Wolff, Technical and Procurement Specialist

E-mail address: wolff@iawd.at with a copy to Philip Weller: weller@iawd.at

A reply will be sent no later than 5 days before the deadline for the receipt of proposals.

Acknowledgement of receipt

Following the proposal opening session, IAWD will send an acknowledgement of receipt to all applicants, indicating whether or not their application was received prior to the deadline and informing them of the reference number they have been allocated.

EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the IAWD. All actions submitted by applicants will be assessed according to the following criteria:

(1) Administrative compliance

- verification that the application is complete in accordance with the checklist.

(2) Eligibility of the applicants and actions

- Verification that the applicant, the partners (where applicable), and the action are eligible according to the criteria set out in sections: "Guidelines for the Grant Applicants".

(3) Evaluation of the quality of the proposals and financial evaluation

An evaluation of the quality of proposals, including the proposed budget, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid shown below.

The selection criteria are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;
- have the professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant;
- the quality of the proposals submitted is in line with the objectives and priorities set in a Business Plan of the Water and Wastewater Association (relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness).

Please note the following important information:

Step (3) of the evaluation will be carried out only for those Applications that have successfully passed steps (1) and (2).

EVALUATION GRID

Section	yes/no
1. Financial and operational capacity	
1.1 Do the applicant have sufficient experience of project management (including staff, equipment and ability to handle the budget for the action)?	
1.2 Do the applicant have sufficient technical expertise ? (notably knowledge of the issues to be addressed.)	
2. Relevance	
2.1 How relevant is the proposal to the improvement of the Water and Wastewater Association effective operations?	
2.2 How relevant is the proposal for the pillars of the Danube Water Program or other thematic areas regarding improvement and strengthening of the water sector in your country?	
2.3 Does the proposal build up on the previously implemented action ?	
3. Description of the Action Implementation /Methodology	
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results of a WSS Association Business Plan?	
3.2 Is the action plan clear and feasible?	
3.3 Does the proposal contain indicators for the outcome of the action?	
4. Sustainability	
4.1 Is the proposal likely to have multiplier effects ? (including scope for replication and extension of the outcome of the action and dissemination of information.)	
4.2 Are the expected results of the proposed action sustainable : - financially (<i>how will the activities be financed after the IAWD DWP funding ends?</i>) - institutionally (<i>will effectiveness of the WSS Association operations will be increased after the end of the action?</i>)	
5. Budget and cost-effectiveness	
5.1 is the ratio between the estimated costs and the expected results satisfactory?	
General effect of the action	

NOTIFICATION OF IAWD'S DECISION

Applicants will be informed in writing of the IAWD's decision concerning their application. A decision to reject an application or not to award a grant will be based on the following grounds:

- the application was received after the closing date;
- the application was incomplete or otherwise non-compliant with the stated administrative conditions;
- the action was ineligible (e.g. the action proposed is not covered by the programme, the proposal exceeds the maximum duration allowed, the requested contribution is higher than the maximum allowed, etc);
- the proposal was not relevant enough or the applicant's financial and operational capacity was not sufficient, or the proposals selected were considered superior in these respects;

The contracting authority's decision to reject an application or not to award a grant is final.

Annex 1

Terms of Reference

Development of a Business Plan for Water Utility Associations

BACKGROUND

The Danube Water Program's (jointly managed by IAWD and the World Bank) has a vision of Smart Policies, Strong Utilities and Sustainable Services that will be achieved through a series of individual activities at (sub-) regional and at national levels using three main instruments: analytical and advisory work, a knowledge sharing platform and capacity development activities.

IAWD as regional association of water utilities has overall responsibility for the capacity development activities. One of the defined regional capacity building activities IAWD has promoted under the program is WSS Association Strengthening Support. Objective of this activity is to strengthen the water utility associations and improve their capacity to become self-sustainable and active members of the Regional Training Partnership (D – LeaP).

In order to achieve this Water Utility Associations are offered the possibility to prepare (if they do not already have one) a Business Plan. Preparation of the Business Plan (BP) is considered as an absolutely necessary step in strengthening the WSS Associations. During preparation of the BP, WSS Associations will be forced to take an objective and critical look at their business activities, to document the actions to be taken as commitments for improvement of the Association's overall performance and effectiveness and to communicate their ideas to others. The Business Plan should provide the basis for the financial stability and make rational and coordinated decisions about levels and types of programs and activities.

It is envisaged that a tendering process in each country will be used to select consultant to develop BP. However, if the WSS Association considers that BP could be prepared using an "in-house" resources, there will be no need for a tendering process, but for a statement describing qualifications of Association's staff who will be engaged on preparation of the BP.

The expected outcome is completed Business Plan for the Water Utility Associations. Each Business Plan will undergo quality assessment by an independent expert.

Based upon the Business Plan, a second stage of funding will be allotted to each Association to carry out action(s) identified as needed in the Business Plan. This funding will provide an incentive for the BP implementation and Associations' active development.

It is anticipated that capacity building and knowledge sharing activity will be one of the core activities proposed by the Associations in order to enable them becoming an active member of the Regional Training Partnership (D – LeaP).

The following TOR specifies the work needed under this project.

OBJECTIVE

The overall objective of this assignment is to develop a five year Business Plan for the Water Utility Associations in a very structured, objective and quantifiable way. The specific objectives of the assignments are to:

- Develop an Association Business Plan with clearly stated Vision, Mission Objectives and Strategic Goals that can be achieved by following defined Action Plan

- Develop an Association Business Plan and thus allow achievement of sustainability for all of its desired activities, projects and programs. In such a case, sustainability equates directly with financial independence, enabling them to freely reflect and represent the interests of their members.

SCOPE OF WORK

To achieve the given objectives, a Business Plan should be comprised of:

- Overall introduction describing the background of the Water Association, its present function, organization and functions
- Current position of the Water Association within the sector in its country
- Vision Statement and Mission Objectives of the Association
- Strategic Goals and Action Plan, for the 5 years planning period (mid-term outlook)
- Governance, organizational structure and staffing plan
- Strategy on the future membership structure
- Communications plan to its audiences and stakeholders, and most particularly its members
- Knowledge management and sharing plan, which can include capacity building support, thematic partnerships, thematic or annual conferences
- Project development programs and cooperation with strategic partners
- Budget forecast, for the 5 years planning period

APPROACH

There are two possible approaches:

The Association will assess the scope of work related to development / update of the Business Plan and will decide whether the Business Plan can be drafted with:

- “in-house” resources or
- external support

In order to make a decision on an approach to be deployed, the Association has to be aware that the following tasks, at minimum, will have to be undertaken in order to develop a Business Plan for Water Associations:

- ✓ collect existing relevant data as a basis for developing a Business Plan. While implementing this task take into account the needs of the Associations’ members
- ✓ develop outline of a business plan in consultation with Associations’ General Assembly / Board
- ✓ consult the other interested stakeholders (similar associations, potential partners, private sector, etc.) while developing an outline of a business plan
- ✓ develop an integrated computation model that will support all planning and budgeting needs of a Business Plan
- ✓ finalize a Business plan by reflecting comments and suggestions made by the Associations’ General Assembly / Board

DELIVERABLES

The Water and Wastewater Association shall provide a business plan document with the correspondent budget tables in hard and soft copy. Business plan should, inter alia, consist of the following segments:

- Description of the Association (current status)
- Vision statement
- Mission objectives
- Organizational structure
- Strategic priorities
- Objectives and targets for all main activities (membership numbers, training courses offered, etc.) for five years at minimum
- Operational implementation plan / action plans
- Staffing plan
- Budget forecast (Revenues: like e.g. member fees, projects, grants and various contributions; and Expenses: like e.g. permanently employed and supporting staff, rent and utilities, offices supplies) for five years at minimum

TIMING

Commencement date:	After Application for Call for Grant Applications
Implementation time:	18 months in total (this include development of a Business Pan as well implementation of a proposed activity that will improve Association's overall performance and effectiveness)
Milestones:	Review of a Business Plan by the IAWD TS supported by an independent expert from the beneficiary country Acceptance of a proposed Activity (accompanied by procurement and budget implementation plan) by the IAWD Technical Secretariat

QUALIFICATIONS AND WORK EXPERIENCE

It is expected that the individual that will develop a Business Plan, shall provide following expertise:

- At least a Master's degree in Business Administration, Management or a related discipline
- Working experience / knowledge of Water and Wastewater Associations, and in-depth understanding of their organizational structure, functioning and role
- Experience in developing business plans and strategic action plans
- Excellent command, written and spoken, of both English and language of the target country

Up to maximum 25 working days, within 3 months' time, are foreseen for developing a Business Plan.

REFERENCE DOCUMENTS

The following documents, developed with the support of the IAWD / Danube Water Program through its Competitive Grant Window: "SHUKALB – Business Planning for Water Associations" shall be used as a guideline to develop a Business Plan. All documents will be made available to all Water and Wastewater Association.