



**DANUBE
WATER
PROGRAM**

Smart policies, strong utilities, sustainable services

**Danube Water Program
Call for Applications for Competitive Grants**

Grant Application Form

Deadline for submission of Application:
April 8th, 2016

Dossier No	
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(for official use only)

Name of the applicant(s):	
Nationality of the applicant and type of actor¹	
Title of the action:	
Location(s) of the action²:	
Name of partner(s) and nationality	
Total cost of the action (A) in EUR	
Amount requested from the Danube Water Program in EUR (B)	
% of total eligible cost of action (B/Ax100)	
Total duration of the action in months:	

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, multiplier or spill-over effects, why the applicant is the best placed for the implementation of the action 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.

¹ Government Agency, Utility Association, Municipal Authority, Academic, Utility, NGO etc. from the following DWP countries: Albania, Bosnia and Herzegovina, Bulgaria, Croatia, Kosovo, FYR Macedonia, Moldova, Montenegro, Romania, Serbia and Ukraine

² Specify country/ies, in which the Action will take place.

✓ **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 regarding the Pillar of the Danube Water Program to which it is related: sector governance and structure (pillar I), regulation, tariffs and subsidies (pillar II), benchmarking (pillar III), asset management and investment planning (pillar IV) and service efficiency improvement (pillar V)). The action has to show inter-relation with the overall Danube Water Program activities as outlined in the Work Plan (published on: www.danube-water-program.org)

✓ **Description of the Action**

Describe the action planned, including the objectives, and expected results, and key indicators of success. Furthermore, include a detailed description of each activity to be undertaken to produce results, specifying where applicable the role of each partner in the activities.) Provide a description of the proposed action. 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 of the Danube Water Programme (attached as an Annex 6) .
- ✓ involvement of partners in the action implementation, as well as involvement of target groups; their role and relationship to the applicant as well as other possible stakeholders (national, local government, private sector, etc.) and their anticipated role and/or potential attitudes towards the project.

✓ **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 Lead Organization and Key Partners**

Describe the lead organization and key partners including their experience and capacity to carry out the action proposed. State what are the main activities of the lead organisation and key partners at present. Describe role and involvement in implementing the proposed action).

Provide a description of the lead organization and partners and their capacity and experience applicable to carry out the project: provide a short description of actions managed by your organisation over the past five years in the fields relevant to this action. Describe resources of your organisation: 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).

Applicants have to be directly responsible for the preparation and management of the action and not acting as an intermediary party

✓ **Budget**

Provide a basic budget for the overall action with specific information about the elements to be funded by the Program. Please note that the Applicant has to contribute with minimum 25% of the total amount of the Grant. Higher Applicants' contribution will influence the final scoring of Applications.

II Applicant

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

III Partners of the Applicant participating in the Action

	Partner 1	Partner 2
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.

This application form must be accompanied by a signed and dated partnership statement from the main applicant and from every partner

IV. 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 € 500,000. 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 50,000.

However, preference will be given to grants which fall under the following range:

- ✓ minimum amount: **EUR 30,000**
- ✓ maximum amount: **EUR 50,000**

ELIGIBILITY CRITERIA

Duration

The duration of an action may not exceed 12 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 which are in supporting the Pillars of the Danube Water Program: sector governance and structure (pillar I), regulation, tariffs and subsidies (pillar II), benchmarking (pillar III), asset management and investment planning (pillar IV) and service efficiency improvement (pillar V)). The action has to show inter-relation with the overall activities of the Danube Water Program 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 the water sector and water sector institutions in their country(ies).

Applicants are strongly advised to seek support of a Water and Wastewater Associations in their country for a proposed action.

The Applicants should be aware that the following types of action are ineligible:

- ✓ Individual sponsorships for participation in workshops, seminars, conferences, congresses;
- ✓ Individual scholarships for studies or training courses or specific research projects;
- ✓ Projects/actions taking place outside the Danube river catchment area;
- ✓ Purchasing, renting or refurbishment of offices;

- ✓ Purchasing of equipment (unless necessary for the successful execution of the project);
- ✓ Studies and researches;
- ✓ Retrospective financing for projects already in existence or completed;
- ✓ Projects for the exclusive benefit of individuals or exclusive restricted groups of individuals;
- ✓ Construction or rehabilitation works;

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.

Furthermore, no more than two Applications given from a country will be approved.

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;
- ✓ 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;

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 – Danube Water Programme

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 April 8th, 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, the contracting authority 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 contracting authority 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, partners and actions

- Verification that the applicant, the partners (and the associates 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 (relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness). The Applicant has to fill in the following table establishing

targets for one or more of the DWP indicators (please see Annex 1 of this Application for reference on the DWP indicators):

DWP RESULTS INDICATOR	BASELINE	TARGET

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).

Scoring:

The applications with the highest scores will be given priority when grants are awarded. If the total score of the application is lower than 65 the proposal will not be recommended for funding.

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicant and partners have sufficient experience of project management (including staff, equipment and ability to handle the budget for the action)?	10
1.2 Do the applicant and partners have sufficient technical expertise? (notably knowledge of the issues to be addressed.)	10
2. Relevance	30
2.1 How relevant is the proposal to the pillars of the Danube Water Program and one or more of the activities of the DWP Work Plan? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least one pillar / activity .	10
2.2 How relevant is the proposal for the other thematic areas regarding improvement and strengthening of the water sector in your country?	5
2.3 Does the proposal covers one country , is cross-country or a regional action ?	5
2.4 Does the proposal build up on the previously implemented action ?	5
2.5 Is the proposal supported by national WSS Association(s)?	5
3. Description of the Action Implementation /Methodology	25
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	10
3.2 Is the action plan clear and feasible?	10
3.3 Does the proposal contain indicators for the outcome of the action?	5
4. Sustainability	15
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.)	5
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 structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i>)	10
5. Budget and cost-effectiveness	10

5.1 is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Level of counterpart (Applicants') funding	5
Maximum total score	100

NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

Applicants will be informed in writing of the contracting authority'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 applicant or one or more of its partners or associates was not eligible;
- 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 proposal was considered technically and financially inferior to the proposals selected.

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

ANNEX 1: RESULTS FRAMEWORK

PDO LEVEL RESULTS INDICATORS
Indicator One: [NUMBER] of target countries in which regulatory and policy recommendations have been discussed by decision makers.
Indicator Two: [NUMBER] of participating utilities that have completed an operational performance improvement program.
Indicator Three: [NUMBER] of participating countries that have implemented and are using a sector information system to track utility performance.
Indicator Four: [NUMBER] of participating utility associations that are implementing their business plans.
Indicator Five: [NUMBER] of water utilities that the project is supporting.
INTERMEDIATE RESULTS
<i>Intermediate Result (Component One): Developed regulatory and policy instruments for improved country framework conditions</i>
<i>Intermediate Result indicator One:</i> [NUMBER] of sector regulation and policy reviews conducted.
<i>Intermediate Result indicator Three:</i> [NUMBER] of energy audits conducted for participating utilities.
<i>Intermediate Result indicator Four:</i> [NUMBER] of utility records reported to IBNET/DANUBIS from participating countries.
<i>Intermediate Result (Component Two): Increased institutional capacity in participating utilities</i>
<i>Intermediate Result indicator One:</i> [NUMBER] of policy makers, higher-level technical and managerial staff from participating countries that benefited from cross-country capacity building activities.
<i>Intermediate Results indicator Three:</i> [NUMBER] of female representatives that benefited from capacity building activities.
<i>Intermediate Result indicator Two:</i> [NUMBER] of utilities that have prepared business plans.
<i>Intermediate Result indicator Four:</i> [NUMBER] of participating utility associations that have prepared business plans.
<i>Intermediate Result indicator Five:</i> [NUMBER] of Competitive Grants completed as planned.