



**An Australian Government Initiative**

# **Community-based Adaptation Activity Grants**

## **International Climate Change Adaptation Initiative**

### **APPLICATION GUIDELINES**

**December 2009**

Applications due: 26 February 2010  
Submission by email to: [climateadaptation@ausaid.gov.au](mailto:climateadaptation@ausaid.gov.au)

For further information contact:

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Australian Agency for International Development (AusAID)  
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Canberra ACT 2601  
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## 1. **BACKGROUND**

- 1.1 Australia is investing \$150 million over three years from 2008-09 to meet high priority climate change adaptation needs in vulnerable countries in our region under the International Climate Change Adaptation Initiative (the Initiative). The primary geographic emphasis of the Initiative is Australia's neighbouring island countries, but targeted policy and technical assistance is also being made available for other countries in the Asia-Pacific.
- 1.2 The overarching objectives of the Initiative are to:
- establish a sound policy, scientific and analytical basis for long-term Australian action to help developing partner countries adapt to the impacts of climate change;
  - increase understanding in partner countries of the impacts of climate change on their natural and socioeconomic systems;
  - enhance partner country capacity to assess key climate vulnerabilities and risks, formulate appropriate adaptation strategies and plans, and mainstream adaptation into decision making; and
  - identify and help finance priority adaptation measures to increase the resilience of partner countries to the impacts of climate change.
- 1.3 The Initiative, which is jointly managed by AusAID and the Department of Climate Change, is working closely with partner countries to enhance understanding of climate change impacts, build capacity to effectively plan and implement adaptation strategies and to implement priority adaptation actions.
- 1.4 At the Pacific Islands Forum held in Cairns in August 2009, the Minister for Foreign Affairs and the Minister for Climate Change and Water announced an allocation of \$2.7 million under the Initiative for strategic partnerships with NGOs working on adaptation in the Pacific region. To program these funds AusAID is forming a Community-based Adaptation Partnership Fund under the Initiative.
- 1.5 The objective of this Community-based Adaptation Partnership Fund is to support strategic partnerships with civil society actors that work on a substantial scale to increase the resilience of communities in small island developing states to the impacts of climate change.
- 1.6 The Partnership Fund will be utilised to support implementation of effective and scalable community-based adaptation activities, in part through the Community-based Adaptation Activity Grants.
- 1.7 For further background information about the Initiative see the following websites:  
<http://www.ausaid.gov.au/> and  
<http://www.climatechange.gov.au/government/initiatives/international-climate-change-adaptation-initiative.aspx>

## 2. **COMMUNITY-BASED ADAPTATION ACTIVITY GRANTS**

- 2.1 The Community-based Adaptation Activity Grants are available for Australian and international NGOs to work with local organisations to scale up current successful community-based adaptation activities or to build an adaptation component onto existing community-based activities in the Pacific region, including East Timor. Applications in the range A\$500,000 to A\$1,000,000 will be considered but must be proportional to the work entailed and demonstrate value for money.

- 2.2 Preference will be given to Australian and international NGOs working in consortia; particularly where consortia build on the comparative advantages of individual organisations. Consortia involving both development and conservation NGOs, including international or Australian NGOs working with regional and/or national NGOs from the Pacific or East Timor, would be particularly encouraged.

### 3. **OBJECTIVES**

- 3.1 The objective of the Community-based Adaptation Activity Grants is to increase the resilience of communities in small island states to the unavoidable impacts of climate change.

### 4. **DEVELOPMENT APPROACH**

- 4.1 The following guiding principles should be considered in preparing your application. The proposed activity should:
- i. Promote local community ownership, improve coordinated responses, align with local and national development and adaptation priorities, and harmonise with other international, regional and donor work in the country, community and/or sector.
  - ii. Use existing community structures, involve local organisations acceptable to national and local authorities and be consistent with local and national development policies, particularly relating to climate change and adaptation.
  - iii. Ensure members of the community understand the purpose of the activity and actively contribute to its development and implementation.
  - iv. Encourage partnerships between a variety of stakeholders that strengthen and build on local/regional knowledge, expertise and networks.
  - v. Ensure that the specific needs of men, women and children are addressed and that opportunities exist for women to participate as decision makers in determining objectives and types of activities.
  - vi. Aim to build resilience to key climate change-related impacts on human and/or environmental systems in vulnerable communities.
  - vii. Aim to strengthen capacity within communities and community-based organisations and/or local NGOs to enhance sustainability of adaptation outcomes at the conclusion of the project.
  - viii. Ensure a rigorous approach to monitoring and evaluation, including capturing a broad range of outcomes and including mechanisms for continuous reflection, learning and adjustment.

### 5. **ELIGIBILITY CRITERIA**

- 5.1 To be eligible for funding, proposed activities must comply with the following criteria:
- i. The proposed activity is to be implemented in one or more Pacific Island countries and/or East Timor.
  - ii. The proposal must be consistent with the climate change adaptation policies of partner countries and address adaptation priorities at the community level. Host government endorsement will need to be secured prior to commencing implementation.
  - iii. Host government endorsement, at all relevant levels, prior to applications being provided to AusAID would be beneficial. This endorsement will be essential prior to funding being committed for the activity.

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

- i. Activities that fall outside the scope of the Initiative or are determined reasonably to be contrary to the interests of the Commonwealth of Australia.
- ii. Activities that do not clearly demonstrate the participation of partners in programming and implementation.
- iii. Recurrent costs unless there is a convincing plan to ensure the recipients will be able to take over those recurrent costs within the life of the activity.
- iv. Retrospective activities.
- v. Travel expenses that exceed 20 per cent of total project costs.
- vi. Activities that cannot clearly demonstrate “on-the-ground” adaptation benefits for target communities.

5.3 To be eligible for funding, organisations must comply with the following criteria:

- i. The lead organisation is an Australian or International NGO with knowledge and technical skills of relevance to community-based climate change adaptation. Applications from organisations that have established working relationships with local partners are encouraged.
- ii. The organisation(s) is accredited by AusAID and/or agrees to the Statement of International Development Practice Principles at Attachment 1 to these Application Guidelines.
- iii. The organisation(s) should manage activities and relationships with other organisations in a way that reflects good practice in developing countries. Amongst other things, the organisation(s):
  - a. can influence/intervene at any stage of the project cycle;
  - b. monitors and reports on effectiveness of activities and has systems for continuous improvement;
  - c. has documented arrangements with partner organisations that include risk assessment and management and where necessary capacity building
  - d. has systems to assess and manage financial risk (including those associated with in-country partners) appropriate to the level of expenditure; and
  - e. demonstrates capacity to meet standard AusAID funding agreement obligations on matters such as child protection, fraud and terrorism financing.
- iv. Applicant organisations should declare all other proposals or sources of Australian Government funding that is related, or may impact, on the activity. If the organisation(s) is not accredited by AusAID, then organisations may be asked to provide other documents following the technical assessment by the selection panel in order to assess an organisation’s management capacity, systems and operations. These include:
  - a. a copy of the organisation’s constitution or articles of association;
  - b. an audited annual financial statement certified by a public accountant who is not a member of the organisation;
  - c. a copy of the organisation’s annual report, or a similar document; and
  - d. an outline of its work program.

- v. If organisations are unable to provide such documents then adequate explanation must be provided at the time. If neither documentation nor adequate explanation is provided, the proposal will be considered non-compliant and will not be eligible for funding.

## 6. FUNDING

6.1 In applying for support under the Community-based Adaptation Activity Grants, applicants should note the following:

- i. Applications in the range A\$500,000 to A\$1,000,000 will be considered but must be proportional to the work entailed and demonstrate value for money. An itemised budget should be included in each application.
- ii. In cooperating as partners, we intend that funding under the Community-based Adaptation Activity Grants would be on the basis of grant funding and acquittal of expenditure.
- iii. Funding support will cover activities to 30 June 2011 with no-cost extensions negotiable on a case by case basis.
- iv. Funding provided must not be used for purposes other than for the activity outlined in the application.

## 7. SELECTION CRITERIA:

### 7.1 Activity criteria [weighting 65%]

- i. The activity has clear objectives and outcomes that will assist the Initiative to meet its objectives (particularly Objective 4) and is consistent with the policies of the national government of the intended partner country(ies).
- ii. The activity complements other activities under the Initiative where possible and is aligned with other adaptation activities in the target country(ies) / community(ies).
- iii. The activity seeks to replicate or scale up existing successful projects implemented by the organisation(s) in the target country(ies).
- iv. The activity focuses on key climate vulnerabilities and adaptation priorities at the community level and incorporates sustainable livelihoods outcomes and environmental co-benefits.
- v. The activity includes a prominent role for local NGOs and/or community-based organisations (CBOs) in development and implementation and includes capacity building within the community to assist in achieving sustainable adaptation outcomes.
- vi. The activity integrates gender equality, environmental sustainability, social inclusion and other cross-cutting issues.
- vii. The activity includes adequate monitoring and evaluation arrangements to effectively measure and report on progress towards objectives.

### 7.2 The organisation / consortia criteria [weighting 25%]

- i. The organisation(s) has proven ability to generate positive, measureable adaptation and development outcomes at the community level in the Pacific region and/or East Timor.
- ii. The organisation(s) has demonstrated extensive and relevant in-country experience in target country(ies) with established networks/relationships with local NGOs or CBOs in target country(ies).

- iii. The organisation(s) has the ability to build the adaptation capacity of partner NGOs/CBOs and communities in target country(ies) and, if applicable, to leverage resources/funding from other sources (i.e. official donors, private sector or foundations) to enhance overall project resourcing.

**7.3 Value for money [weighting 10%]**

- i. The funds requested, and detailed in an itemised budget as part of the proposal, are reasonable and proportional to the intended work to be undertaken.

**8. SELECTION PROCESS**

- 8.1 Applications received by the deadline will first be checked to ensure the application meets the Eligibility Criteria in accordance with section 5 above.
- 8.2 Eligible applications will be assessed on their merits against the Selection Criteria by a selection panel appointed by AusAID.
- 8.3 Organisations may be asked to provide other documents as outlined in section 5.3(iv) to assess an organisations management capacity, systems and operations if deemed necessary.
- 8.4 A submission will then be made to the delegate providing the outcome of the assessment process and a recommended list of suitable applications.
- 8.5 Organisations will be advised of the outcome and successful organisations will be contacted to commence negotiation of funding agreements.
- 8.6 Partner government endorsement of the applications will then be sought if not previously secured.
- 8.7 The responsibilities of all parties, the outputs and reports required to be produced, and payment details will be outlined in funding agreements which are expected to commence by **April 2010**.
- 8.8 An indicative timeline is provided below:

<b>Date</b>	<b>Competitive Grants</b>
mid-December 2009	Request for applications issued
26 February 2010	Applications close (17:00 Australian Eastern Daylight Time)
March 2010	Selection process
March 2010	Notification of grant outcomes
March 2010	Funding agreements negotiated
From April 2010	Implementation commences (depending on time taken to negotiate and finalise funding agreements)
30 June 2011	Activity completed and final report due

## 9. APPLICATION DETAILS

### 9.1 Applications must be:

- i. Submitted in electronic format by email to [climateadaptation@ausaid.gov.au](mailto:climateadaptation@ausaid.gov.au)
- ii. Received by 26 February 2010 (17:00 Australian Eastern Daylight Time)

### 9.2 The application must:

- i. Meet the Eligibility Criteria as specified in section 5 above.
- ii. Address each of the Selection Criteria listed in section 7 above.
- iii. Be no more than fifteen (15) pages plus annexes of no more than five (5) pages.
- iv. Provide a clear itemised budget as an annex, including details of any financial or in-kind support of all organisations involved in the activity.

### 9.3 Any inquiries must be addressed to:

Paul Mitchell, Program Manager, International Climate Change Adaptation Initiative  
Australian Agency for International Development (AusAID)  
GPO Box 887  
Canberra ACT 2601  
Email: [climateadaptation@ausaid.gov.au](mailto:climateadaptation@ausaid.gov.au)  
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## Attachment 1 Engaging Not-for-Profit Organisations: Statement of International Development Practice Principles

June 2009

### **A Basic Standard for Engagement with Not-For-Profit Organisations**

The Statement of International Development Practice Principles (Attached) has been developed in consultation with the Australian Council for International Development (ACFID). It is **founded on the good development practice and experience of accredited Australian Non-Government Organisations (NGOs)** and other international development agencies over the last three decades.

The Statement takes account of the Accra Action Agenda on Aid Effectiveness, and in particular, encourages a participatory approach to development. 'Not for profit' organisations are strongly encouraged to work in partnership with others thereby reducing the burden on communities and governments with whom they work. The Statement seeks to articulate the minimum standards and commitment that AusAID expects from all 'not- for- profit' organisations that it funds. It will form an annex to funding agreements with not-for-profit organisations that are not accredited with AusAID.

The Principles are **not aimed at accredited Australian NGOs** which have already undergone a rigorous accreditation process.



## Statement of International Development Practice Principles

This Statement of International Development Practice Principles (The Principles) promotes the active commitment of **all non-accredited, not -for -profit organisations funded by AusAID** to the fundamentals of good development practice, and to conducting their activities with integrity, transparency and accountability.

The Principles are founded on a premise of **‘do no harm’** and drawn from good practice principles in the international development not-for-profit sector and international development community more broadly. In line with Aid Effectiveness principles, when planning interventions, not-for-profit organisations are encouraged to consider: what other agencies are doing in the chosen area of focus; where their organisation can add value; and how they can join with others to increase the impact and sustainability of their activities.

Where relevant, AusAID encourages eligible Australian organisations to work towards becoming Australian Council for International Development (ACFID) Code of Conduct signatories.

### 1.1.1 *International Development Principles*

Lessons drawn from best practice NGO and civil society programs recognise the importance of working in partnerships, building creative and trusting relationships with people of developing countries and supporting basic program standards which:

- > give priority to the needs and interests of the people they serve and involve beneficiary groups to the maximum extent possible in the design, implementation and evaluation;
- > promote an approach that includes all people in a community and ensures the most vulnerable, including people with disability, women and children, are able to access, and benefit equally, from, international development assistance;
- > encourage self help and self-reliance among beneficiaries;
- > avoid creating dependency through the facilitation of active participation and contributions (as appropriate) by the most vulnerable;
- > respect and foster all universally agreed international human rights, including social, economic, cultural, civil and political rights;
- > are culturally appropriate and accessible;
- > seek to enhance gender equality;
- > recognise and put in place processes to mitigate against the vulnerability of not for profit organisations to potential exploitation by organised crime and terrorist organisations;
- > have appropriate mechanisms in place to actively prevent, and protect children from harm and abuse; and
- > integrate environmental considerations and mitigate against adverse environmental impacts.
- > Promote collaborative approaches to development challenges including through working in partnerships and avoiding duplication of effort

All non-accredited, not for profit organisations receiving funding from AusAID commit to apply these principles of good development practice, and adhere to the organisational integrity and accountability standards set out on the following page.

### **1.1.2 Organisational Integrity and Accountability for Development**

AusAID funds and resources are designated for the purposes of **international aid and development** (including development awareness). They can not be used to promote a **particular religious adherence, missionary activity or evangelism, or to support partisan political objectives**, or an individual candidate or organisation affiliated to a particular political movement. AusAID reserves the right to undertake an independent audit of an organisation's accounts, records and assets related to a funded activity, at all reasonable times.

In all of its activities and particularly in its communications to the public, AusAID expects not-for-profit organisations it works with to accord due **respect** to the dignity, values, history, religion, and culture of the people **it supports and serves**, consistent with principles of **basic human rights**.

Not-for-profit organisations working with AusAID should:

- > not be a willing party to wrongdoing, corruption, bribery, or other financial impropriety in any way in any of its activities;
- > take prompt and firm corrective action whenever and wherever wrongdoing is found among its Governing Body, paid staff, contractors, volunteers and partner organisations;
- > have internal control procedures which minimise the risk of misuse of funds and processes and systems that ensure funds are used effectively to maximise development results;
- > establish reporting mechanisms that facilitate accountability to members, donors and the public;
- > have adequate procedures for the review and monitoring of income and expenditure and for assessing and reporting on the effectiveness of their aid;
- > have a policy to enable staff confidentially to bring to the attention of the Governing Body evidence of misconduct on the part of anyone associated with the Organisation, including misconduct related to the harm and abuse of children;
- > be aware of terrorism-related issues and use their best endeavours to ensure that funds do not provide direct or indirect support or resources to organisations and individuals associated with terrorism and/or organised crime;
- > Ensure that individuals or organisations involved in implementing activities on behalf of the Organisation are in no way linked, directly or indirectly, to organisations and individuals associated with terrorism and/or organised crime.

### **AusAID Funding Agreement Requirements**

Each AusAID funding agreement also comes with obligations for both AusAID and the Organisation being funded. These are spelt out in detail in the funding agreement. The Principles will not affect or diminish the obligations or liabilities of the Organisation under the funding agreement.

Broadly speaking, any Organisation funded by the Australian Government, through AusAID, is **required to comply with relevant and applicable laws, regulations and policies**, including those in Australia and in the country/ countries in which they are operating. In particular, the Organisation needs to observe the contractual requirements regarding Child Protection and Counter Terrorism.



## Additional Information and Related Links

**Further information AusAID's Child Protection Policy, Counter Terrorism and other applicable laws and policies can be found on AusAID's website at:**

[http://www.ausaid.gov.au/business/pdf/Lists\\_of\\_Laws\\_and\\_Guidelines\\_for\\_Contractors.pdf](http://www.ausaid.gov.au/business/pdf/Lists_of_Laws_and_Guidelines_for_Contractors.pdf)

[http://www.ausaid.gov.au/publications/pdf/child\\_protection.pdf](http://www.ausaid.gov.au/publications/pdf/child_protection.pdf)

**Further information on terrorist organisations listed under Division 102 of the Criminal Code Act 1995 (Cth) and the DFAT Consolidated List of persons and entities subject to UN sanctions regimes maintained in accordance with the Charter of the United Nations Act 1945 (Cth) can be found at:**

[http://www.dfat.gov.au/icat/UNSC\\_financial\\_sanctions.html#3](http://www.dfat.gov.au/icat/UNSC_financial_sanctions.html#3)

<http://www.nationalsecurity.gov.au/agd/www/nationalsecurity.nsf/AllDocs/95FB057CA3DECF30CA256FAB001F7FBD?OpenDocument>

**Further information on AusAID Accreditation and the ACFID Code of Conduct can also be found at:**

<http://www.ausaid.gov.au/ngos/accreditation.cfm>

<http://www.acfid.asn.au/code-of-conduct>

**Further information on Aid Effectiveness can be found at:**

[http://www.oecd.org/department/0,3355,en\\_2649\\_3236398\\_1\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/department/0,3355,en_2649_3236398_1_1_1_1_1,00.html)

[http://www.oecd.org/document/18/0,3343,en\\_2649\\_3236398\\_35401554\\_1\\_1\\_1\\_1,00.html](http://www.oecd.org/document/18/0,3343,en_2649_3236398_35401554_1_1_1_1,00.html)