

Updated 12th December 2013

GLOBAL POVERTY ACTION FUND (GPAF): COMMUNITY PARTNERSHIP WINDOW – ROUND 3

GUIDELINES FOR APPLICANTS

Please read these Guidelines carefully, even if you have made applications to GPAF in the past.

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1. GPAF programme objectives

The GPAF supports projects that focus on poverty reduction and contribute towards the achievement of the Millennium Development Goals (MDGs). GPAF projects must be designed to demonstrate real, positive changes to the lives of poor people.

The changes may be achieved through the funding of projects that are providing service delivery, empowering individuals and improving accountability, or addressing issues related to conflict, security and justice.

Elements of capacity building and advocacy can be funded but they must be integral components of projects focused on delivering poverty reduction outcomes for poor people. Absolutely no GPAF funding can be used for awareness-raising activities in the UK.

In addition all projects will need to (a) demonstrate good value for money; (b) mainstream gender equality, particularly demonstrating how they will impact positively on the situation of women and girls (and/or other relevant groups who are or may be particularly excluded in the local context).

2. Specific focus of the GPAF Community Partnership window - Round 3

The GPAF Community Partnership window is designed to encourage Civil Society Organisations (CSOs) to submit applications for projects focused on poverty reduction linked to MDGs. This window supports initiatives focused on delivering results at community level which will achieve real benefits for men, women, boys and girls. Innovative approaches that have the potential for scaling up to achieve wider application and impact are welcome, but for the Community Partnership window, innovation is not a mandatory requirement.

DFID defines successful innovation as: 'the creation and implementation of new or improved processes, products, services, methods of delivery or other aspects of an approach that result in significant improvements in impact, outcomes, efficiency, effectiveness or quality'.

The current (third) round of the Community Partnership window, is focussed primarily on MDG 1 'Eradication of extreme poverty and hunger', with a thematic focus on jobs and livelihoods. Concept note applications are invited for projects that bring tangible change to poor people's lives through sustainably raising household incomes and livelihoods.

DFID is interested in projects that lead to increased household income and improved household financial and/or consumption resilience, e.g. household savings or improved food security.

This may include approaches such as:

- Initiatives focused on microenterprise development and making markets work for the poor e.g. improving market information, strengthening informal networks and other supportive institutions, and coaching
- Access to financial services supporting the creation of sustainable jobs and income generating activities (traditional and non-traditional), and savings schemes

- Skills training including technical skills to improve production, entrepreneurial and financial literacy skills

DFID does not pre-define the specific poverty criteria for beneficiaries but is interested in initiatives for poor groups that are excluded from participation in economic growth and markets for various reasons including ethnicity, gender and geography. GPAF applicants must present their own analysis of specific project contexts and the rationale for selection of beneficiary target groups, with reference to relevant MDG targets.

Projects focused primarily on other MDG areas such as health and education cannot be supported under this specific GPAF funding round. For example, projects mainly focused on the following areas could not be funded under this specific GPAF round:

- Access to and quality of general primary or secondary education
- Access to and quality of health services (including HIV/AIDS, major diseases, mother and child health)
- Changes related to environmental outcomes
- Access to and quality of water and sanitation services and hygiene education

However, other MDG areas may be addressed as components of projects if there is a clear and direct link between these components and the achievement of outcomes related to sustainable increases in household income and/or household financial or consumption resilience.

N.B. There is also a **GPAF Impact window** which funds larger scale poverty reduction initiatives which are directly linked to the Millennium Development Goals (MDGs) and particularly those projects which are focused on off-track MDGs. Impact grants work at greater scale to deliver real benefits for men, women, boys and girls, but may also include innovative components. DFID is prepared to support a balance of risk related to projects and organisations across the whole portfolio of GPAF grants.

3. Clarification of the GPAF programme objectives

All GPAF initiatives **must** be able to demonstrate a 'clear line of sight' to poverty reduction and the achievement of the MDGs, i.e. they must deliver **real benefits to poor people within the project life span**. This is clarified below in relation to three specific areas of the GPAF: service delivery that is focused on the MDGs; empowerment and accountability; and conflict, security and justice.

3.1. Service delivery that is focused on the MDGs

GPAF-funded initiatives which focus primarily on service delivery must clearly contribute to the achievement of locally relevant MDGs and meet the specific objectives of Community Partnership round 3. It is important for proposals to demonstrate that service delivery approaches are (a) relevant to the local context and the needs of the targeted beneficiary groups, (b) complement and do not duplicate services already provided by government and other agencies and (c) that the sustainability of the services to be delivered has been adequately considered. In order to achieve effective and sustainable change, projects focused on service delivery should also consider relevant aspects of empowerment and accountability.

3.2 Empowerment and accountability

Significant poverty persists globally in part because the poorest people are unable to access available opportunities, resources and services, and officials remain unaccountable to their commitments. GPAF-funded initiatives can include elements of empowerment and accountability as long as they demonstrate a 'clear line of sight' to poverty reduction and the achievement of the relevant MDGs i.e. they must deliver **real benefits to poor people within the project life span**. Learning from earlier GPAF funding rounds has indicated a need to clarify how projects focused on empowerment can meet these requirements. For further guidance please see: [Additional Guidance on GPAF Initiatives focused on Empowerment and Accountability](#).

For this specific funding round, such initiatives could include, for example:

changes to policies and institutions, which would support and sustain improvements to the livelihoods of poor people.

3.3 Conflict, security and justice

Conflict and fragility are significant challenges to international peace and security and to achieving the MDGs. According to the World Bank, not one low income fragile or conflict-affected country has met a single MDG. The UN estimates that up to four billion people globally live outside fair and functioning justice systems, denying them property rights, redress for abuses or protection from violence. In 2005, the UN Security Council underlined the potential contributions of a vibrant and diverse civil society in conflict prevention, as well as in the peaceful settlement of disputes. GPAF-funded initiatives can also address issues of conflict, security and justice. As with empowerment and accountability, all projects must demonstrate a 'clear line of sight' to poverty reduction and the achievement of the MDGs i.e. they must deliver **real benefits to poor people within the project life span**. GPAF will not however fund initiatives which are primarily for humanitarian relief (as this is covered by other DFID funds through CHASE).

For this round, such initiatives could include for example:

support for peace-building and conflict resolution at the grass roots level, and access to justice and legal empowerment where these have a direct link to household income and livelihoods.

4. GPAF and Value for Money

In the context of the GPAF, Value for Money (VfM) is about maximising the impact of each pound spent to improve poor people's lives. Put simply, value for money is about obtaining the maximum benefit for poor people with the resources provided.

There is a lot of information available on different aspects of VfM in grant funding programmes. The BOND paper: [Integration of value for money into the programme life cycle \(Jan 2012\)](#) presents some key value for money questions relevant to project identification, planning, implementation and monitoring and evaluation and learning.

5. GPAF and Gender/Diversity

All GPAF initiatives must demonstrate appropriate consideration of gender issues within the project context, including analysis of threats, risks, barriers and opportunities for women, girls, men and boys. A thorough analysis of gender and other relevant aspects of diversity including disability and ethnicity within beneficiary communities should inform the preparation of the approach, budgets, staffing and implementation plans. The additional guidance note: [Gender and the Global Poverty Action Fund](#) clarifies DFID's understanding of gender, the key terms used in guidance and how gender is expected to be addressed at different stages of the project cycle.

6. Who can apply to the GPAF Community Partnership window?

6.1 The GPAF Community Partnership window is open to applications from small UK-based, non-governmental, not-for-profit groups with an average annual income of less than £1,000,000 for the past three years as shown in approved organisational accounts. New organisations with fewer than three years of accounts may also apply.

6.2 However, we cannot consider applications from:

- Think tanks (sometimes known as policy institutes, which conduct or analyse research).

- Academic institutions (including institutions which are eligible for funding from the Higher Education Funding Councils and equivalents in England, Wales, Scotland and Northern Ireland).
- Research organisations.
- Organisations which hold a Programme Partnership Arrangement (PPA) with the Civil Society Department of DFID. This includes all wider confederation, network and family members of PPA holders.
- Governmental & inter-governmental organisations (or any other organisation which reports directly to government).
- Organisations based outside of the UK.

We also cannot consider applications from any organisation which:

- Encourages activities which may lead to civil unrest.
- Is linked to any terrorist organisations.
- Discriminates against any groups on the basis of gender, disability, race, colour, ethnicity, religion etc.

6.3 The Fund is open to all UK-based, non-governmental, not for profit organisations, except for the types of organisations in the excluded lists above. Applicants do not have to be registered charities.

6.4 For the purposes of this Fund, DFID defines 'not-for-profit' organisations as those that do not distribute surplus funds to owners or shareholders, but instead use them to help pursue the organisational goals.

6.5 To be considered as UK-based, your organisation's headquarters must be in the UK. If your organisation is part of a larger international family, we will expect you to demonstrate significant autonomy: your organisation must be registered in the UK and have its own UK constitution and an independent board of trustees, i.e. the board must be locally appointed and be free and able to make independent decisions on strategic and operational issues. You may be asked to provide relevant documentation as evidence of this status.

6.6 If your proposed project is provisionally selected for support, we will undertake a due diligence review of your organisation before funding is agreed. Following the outcome of this review, our offer of support will either be agreed or withdrawn. Please see the [summary of DFID's corporate governance expectations of CSOs and due diligence](#).

6.7 Organisations can hold a maximum of two GPAF Innovation and/or Community Partnership grants at any time. Additionally, organisations can hold a maximum of three GPAF Impact grants.

7. Project Partners

7.1 While applicant organisations do not have to work through a partner organisation in the project country, there must be clear mechanisms in place to

enable beneficiaries to participate in the design, management and implementation of the project, and to enhance the sustainability of the project after DFID funding has ended. DFID expects all GPAF funded projects to demonstrate high levels of beneficiary engagement and ownership at all key stages of project delivery.

7.2 For the GPAF, the type of partner is defined in terms of the nature of the partnership. Implementation partners are defined as those that manage project funds and play a prominent role in project management and delivery. Collaborative partners are those that play a key role in supporting the delivery of the project and in coordination, but do not directly manage project funds.

7.3 For all proposed partnerships, the roles of each partner and their contribution to the delivery of the project must be clearly defined.

8. Consortium applications

8.1 For the purpose of the GPAF Community Partnership and Impact windows, consortium applications are defined as those submitted by formal consortia only, i.e. where two or more organisations come together to create a new, formally constituted organisation, with its own organisational accounts. Informal consortia, i.e. where two or more organisations work together on a specific project or initiative only, will be considered as partnerships, as defined in Section 7 above.

8.2 All formal consortium members must meet the GPAF Community Partnership applicant organisation eligibility criteria.

8.3 To be eligible, the average annual income of the consortium, as a separate legal entity, must be less than £1,000,000. The average annual income of each consortium member organisation must also be less than £1,000,000. The total combined income of consortium members may exceed £1,000,000.

8.4 If the formal consortium does not have its own management structure, one member of the consortium will need to be elected as the 'lead' organisation, i.e. the organisation through which all funding would be channelled and who would operate as the main point of contact with DFID for the duration of the project.

8.5 Organisations may apply for both individual and consortium projects at the same time. However, both applications would count towards the maximum of three concept note applications per funding round. If successful, the consortium grant would be counted as a grant held by each of the consortium members and would count towards the maximum grant allowance of two GPAF Innovation and/or Community Partnership grants, and three GPAF Impact grants at any one time.

9. GPAF Community Partnership window - What can and cannot be funded?

9.1 GPAF Community Partnership window grants can be used to fund new, time-limited projects of up to 36 months (three years) duration. Additional components of on-going programmes must be clearly identifiable as discrete projects, with a well-defined project outcome, a clear, time-limited schedule for delivery, and a distinct budget.

9.2 The Fund Manager will consider requests for DFID funding of proposals up to a total value of £250,000. No match-funding is required for the Community Partnership window.

9.3 GPAF funding can only be used to support projects working in countries included in the list of [GPAF eligible countries](#). GPAF funds cannot be used for poverty alleviation work or awareness raising activities in the UK.

9.4 The Secretary of State has outlined the UK's changing relationship with India and South Africa. In line with this, the GPAF will only consider concept notes for **India and/or South Africa** focused on **technical assistance**. Projects should be focused on transferring unique skills and expertise from civil society organisations to local development partners.

9.5 The following is a list of items that cannot be supported with GPAF funds (the list covers the areas that we are most often asked about and therefore is not exhaustive):

- **Areas covered by other DFID funding schemes**
In order to avoid duplicating effort, applicants should check all DFID funding schemes available in the [funding section of DFID's website](#) to see which is most applicable. If a proposal is submitted to more than one of the DFID funding schemes then this should be clearly stated. It is for this reason that the GPAF does not consider, for example, projects that are primarily focused on research (DFID's Central Research Department has responsibility for such requests). Similarly, DFID cannot consider applications for disaster or humanitarian relief initiatives responding to natural and human disasters. DFID's Conflict, Humanitarian and Security Department (CHASE) holds responsibility for this.
- **Capital expenditure**
Major capital expenditure (e.g. construction or purchase of buildings, purchase of land) cannot be supported as a primary focus of the proposed initiative. Any aspect of capital expenditure that you include needs to be fully justified as directly contributing to a sustainable outcome linked to the reduction of poverty. This is intended to avoid funding of buildings and equipment that are not supported by other project components or approaches to ensure that the capital expenditure contributes to a sustainable poverty reduction outcome.
- **Discrimination**
We will not consider projects that discriminate between individuals or groups of people on any grounds including race, sex, sexual orientation, religion, disability or age.

- **Scholarships**
We do not fund educational scholarships.
- **'Stand-alone' activities**
We do not fund stand-alone initiatives which are not part of a wider project. These include one-off conferences, seminars, training events, exchanges or costs associated with participants attending events. Nor can we support projects dealing purely with the overseas transportation of goods and supplies.
- **Core support**
The GPAF is designed for project funding and not to provide institutional support. All requested funds, including administration budget lines, must be clearly related to the project.
- **Civil disobedience**
We do not provide support to projects which actively encourage civil disobedience.
- **Partisan political stance**
We do not fund activities which take a partisan political stance.
- **Proselytising**
DFID recognises that Faith-Based Organisations play a very important role in International Development. However, applications from organisations that include proselytising in their organisational objectives must be able to provide assurances that their promotion of religion would not influence the implementation of the proposed project, or lead to any form of exclusivity or conditionality.

9.6 Please note that there is a limitation on the total number of grants held by individual members of the same International family of organisations. Members of the same International family of organisations cannot hold more than 6 (six) GPAF grants at any one time.

10. How to apply for funding under the GPAF Community Partnership window

10.1 Applications must be completed, in English, on the [concept note form](#) provided on the GPAF web page. We will not consider applications submitted in any other format. The concept note is a short document which helps us to easily identify any organisations that do not meet the basic eligibility criteria for Community Partnership grants at an early stage and to identify which are best suited to the programme criteria.

10.2 Please ensure that you follow the guidance at the front of the concept note form regarding formatting and page length. You should also complete the concept note documentation checklist at the front of the form. When doing so, please refer

back to this guidance document where necessary, to ensure that you have complied with the programme requirements.

10.3 Up to three concept notes (for different projects) can be submitted to each Community Partnership round. If you are applying as part of a consortium, this will also count towards your total of three. However, please remember that you can only hold a maximum of two GPAF Innovation and/or Community Partnership grants at any one time.

10.4 Applications must have a sensible, concise project title. The title should be 1 sentence which includes 3 pieces of information:

- i. what change the project will make;
- ii. the number of direct beneficiaries;
- iii. the country(ies) in which the project will take place.

The title should be no more than 200 characters including spaces;

An example of an acceptable project title is as follows:

- *Increasing household incomes for 20,000 people living below the poverty line in five rural communities of Pakistan*

10.5 At concept note stage you must also submit the following documentation:

- An electronic copy of your organisation's constitution or governance documents, in English;
- If you are applying as a formal consortium (see section 8 above), please also provide copies of the constitution or governance documents for each member of the consortium, as well as the constitution of the consortium itself.

10.6 The completed concept note form and your organisational governance documents are the only documents that you need to submit at the concept note stage.

10.7 All completed concept notes must be submitted electronically in WORD document format to: GPAFCommunity@tripleline.com. If you are submitting more than one concept note, each should be attached to a separate e-mail.

10.8 The deadline for the submission of Concept Notes to this GPAF Community Partnership round is: **23.59 GMT on Monday 27th January 2014**

11. Appraisal of concept notes

11.1 Concept notes will be logged and an acknowledgement e-mail should be issued providing a unique reference number for your concept note within two weeks (10 working days) of the submission. The reference number should be used in all communications about your concept note. If you have not received a unique reference number notification and you think that you should have, please contact us as soon as possible

11.2 All concept notes will be checked for eligibility and validity. Only those that are considered to be eligible and valid will be assessed.

11.3 Eligible and valid concept notes will be assessed in relation to two key criteria:

a) the potential poverty impact of the proposed project (including the justification for the intervention; the clarity and nature of the anticipated changes; linkage to the MDGs; and the potential for wider dissemination and impact);

b) the proposed project implementation arrangements (including the organisational capability; and the proposed project approach).

Value for money and gender considerations will also be taken into account. The strongest concept notes will be selected to proceed to the next stage, i.e. the preparation of a full proposal.

11.4 All applicants should read through the document [GPAF Concept Notes - Strengths and Weaknesses identified during assessment of GPAF Community Partnership concept notes](#), as it highlights strengths and weaknesses of assessed GPAF concept notes in relation to the main Community Partnership concept note appraisal criteria.

11.5 Our assessment will be based on the information which is explicitly contained within your concept note. Please take care to answer each question carefully, taking into consideration the prompts provided with each key question. You must not assume that we have any prior knowledge of your organisation/consortium or its work. However, if your proposal is later considered suitable for funding, we may take into account the management and performance of previous projects funded by DFID when making final decisions.

11.6 Please note that responses to common questions or requests for clarification on these guidelines will be published as 'Frequently Asked Questions' on the GPAF section of the DFID website.

12. Notification of outcome and next steps

12.1 All applicants will receive notification of the outcome of the assessment of their concept note and a summary of the appraisal will form the basis of specific feedback on each concept note. The notifications should be issued by the end of March 2014.

12.2 Please note that all decisions are final. There is no appeals process.

12.3 Those invited to submit full proposals will receive further specific guidance on the preparation of proposals. Full proposals will need to provide a more detailed description of the project plans with supporting documents including:

- a project logframe, or logical framework (see section 14 for links to the DFID logframe template and an introductory presentation on logframes);
- a detailed budget, most recent approved organisational accounts (less than 12 months old);
- a project organisational chart;
- a project implementation schedule (Gantt Chart).

Full proposals will be assessed against key criteria related to:

- a. Contextual Analysis;
- b. Anticipated Poverty Impact and Link to MDGs;
- c. Project Approach / Methodology;
- d. Sustainability and Risk Management;
- e. Project Management / Organisational Capability;
- f. Monitoring and Evaluation and Learning;
- g. Project Budget, Efficiency and Economy.

Value for money and gender are mainstreamed across all of the appraisal criteria.

13. Community Partnership Funding Seminars

Please note that seminars for organisations considering submitting concept notes to this GPAF Community Partnership window will be held in England, Northern Ireland, Scotland and Wales. These seminars will cover the eligibility criteria for the fund, the preparation of concept notes, and the key criteria used in the assessment of applications.

These seminar sessions are scheduled for:

- **London – 9th January 2014**
- **Glasgow, Scotland – 13th January 2014**
- **Belfast, Northern Ireland – 14th January 2014**
- **Cardiff, Wales – 15th January 2014**

To request a place at one of these seminars, you must email GPAFCommunity@tripleline.com providing the following information:

1. The name of your organisation
2. The name of your organisation's representative
3. Contact e-mail address of your organisation's representative

Please note that places will be strictly limited to one place per organisation. Availability will be limited, and places will be allocated on a first come, first served basis. Requests for places will be accepted by email only.

14. List of further reference documents and useful links

Millennium Development Goals MDGs):

<http://webarchive.nationalarchives.gov.uk/20111005093448/http://www.dfid.gov.uk/Global-Issues/Millennium-Development-Goals/>

BOND - the UK membership body for non-governmental organisations (NGOs) working in international development: <http://www.bond.org.uk/>

If you have any queries not covered by these guidelines, please e-mail the GPAF Fund Manager at GPAFenquiries@tripleline.com, or call on 0208 788 4680.