

Name of the Contracting Authority: UNNATI – Organisation for Development Education

## **Guidelines for Small Grant Programme (SGP) Applicants**

**Deadline for Submission: June 20, 2019 (12 hours IST)**

### **1. Background**

UNNATI – Organisation for Development Education has been awarded a five year project called ‘Marudhar mein Jal Swavlamban’ for Promotion of Water Security and Combating Desertification. UNNATI is a voluntary non-profit organization registered under Societies Registration Act (1860) in 1990. Its aim is to promote social inclusion and democratic governance so that the vulnerable sections of society are empowered to effectively and decisively participate in mainstream development and decision making processes. UNNATI works primarily in Western India with people’s collectives, NGOs, elected representatives in local governance and the government. Collaborative research, public education, advocacy, direct field level mobilization and implementation with multiple stakeholders are the key instruments of work. The interventions span from the grass root level to policy level environment in ensuring basic rights of citizen.

This project was conceived based on past two decades of working in the region, particularly on dignified access to water by the Dalit community, issues of water harvesting, use and management of common property resources. Project implementation began on April 1, 2018 and will culminate in March 2023. The project aims to contribute to the adaptation and mitigation of climate change vulnerabilities by enhancing community resilience to water scarcity and repeated weather related risks like droughts. The project seeks to enhance community action, particularly with the participation of women’s groups (Jal Saheli Group) and Panchayati Raj Institutions (PRIs) to address water security in the Thar desert region of Western Rajasthan.

The project area faces challenges of soil erosion, rapid shifting of sand dunes, desertification, moisture stress, and prolonged dry spells which can be attributed to climate change. It has the potential of putting the agrarian economy at risk and exacerbating the problem of water and food insecurity. Dalits have been historically subjected to poor access of common services including water. Women and girls end up spending a quarter of their day in meeting the minimum water needs of the family. Local traditional wisdom for water harvesting and management of water resources are slowly dying out because of dependence on a single source, particularly piped water and lack of community managed mechanism. Management of Common Property Resources (CPR) is neglected.

The project has a twin approach. It intensively covers 150 villages in Sindhri and Patodi blocks of Barmer district. It is intended to cover additional 750 villages of 10 districts – Jodhpur, Barmer, Jaisalmer, Pali, Jalor, Bikaner, Nagor, Churu, Sikar and Jhunjhunu with CSO engagement. It is believed that active involvement of CSOs will help to develop local analysis for community led action. CSOs can bring important concerns and aspirations of common

citizens on water, climate change and clean energy that is the core theme of the action into policy agenda.

## 2. Objective of the Programme and Priority Issues

Community resilience in climate risk agro-ecology can be best addressed with decentralized governance and active involvement of CBOs and CSOs in developing local analysis for community led action and taking up constructive role for adaptive actions like revival of CPR and efficient water use in agriculture to combat desertification. It is thus proposed in the project to develop the capacity of CSOs working on water and climate change on climate sensitive situation analysis and strategic planning as well as Organization Development and Legal compliances. CSOs will help to develop a clear analysis of cause of neglect of traditional water harvesting practices and increasing climate change vulnerabilities. They will develop locally appropriate interventions and promote collaborative action at the community level. CSOs will promote people's participation and facilitate panchayat level planning and implementation.

There is a provision of Small Grant Projects (SGPs) to 25 CSOs. 8 projects will be granted in the first and others in the following two years. Each project will be of one year duration and will be expected to cover 30 villages and about 7000 families. Thus through CSO collaboration, 170,000 households, primarily dalit and vulnerable, will be covered in 750 villages. CSOs will need to respond to this call and submit proposals for selection by a committee.

The objective of the SGP is to build community resilience in addressing community management of water resources and CPR. This is drawn from the specific objective of the project being implemented by UNNATI. The engagement of CSOs in the 10 desert districts will scale-up the awareness and understanding on Climate Change Adaptation (CCA) and Climate Change Mitigation (CCM) in rural desert ecological context. **SGPs will build the capacity of PRIs, CBOs including women's organizations and other CSOs to take up actions on revival and management of community based water resources and CPR using resources from public programs. It will also promote clean energy for cooking. SGP will create local mechanism with leadership of women groups for improved use of Ujjwala program.**

The projects will be expected to build awareness to initiate inclusive participatory rain water harvesting, rational and hygienic water use with ecological sensitivity and access to clean energy – use of solar power, Ujjwala Program of the government on LPG gas etc. In partnership with PRIs, adaptive actions will be initiated to combat desertification like revival of common property resources (CPR - water bodies, grazing land community, and forest) and efficient water use in agriculture.

Priority issues to be addressed are **water security, clean energy and climate change mitigation and adaptation with a rights based approach.** It includes promotion of climate smart/ rational agricultural practices and community coping mechanisms to drought risk. General awareness on water quality and change of behavior for hygienic water use is also a component. **It will be advantageous to include newer issues like waste water reuse, social regulation on ground water management and social enterprise development on solar energy etc.** Interventions

should be ecologically sustainable, economically remunerative, socially just and culturally appropriate.

### **Project Objective – Water security and governance enhanced**

#### **Expected Results –**

1. Gram panchayats and village organizations jointly plan for management of common water resource; conserve and restore traditional water harvesting mechanisms; develop social regulations and governance mechanisms on equitable use and management of water and other CPR
2. More outlay from public programs for revival and creation of common water resource;
3. Common water resources are revived to contribute to halt the desertification and de-concentration of drought risks;
4. Vulnerable households have water harvesting structures, access to clean energy and LPG for protection from discrimination, dignified access to water, increased access to livelihood opportunities through saving time and reduction of drudgery of women and climate change vulnerabilities

### **3. Financial Allocation provided by the Contracting Authority**

The overall indicative amount made available under this Call for Proposal is EUR 250,000. The contracting authority reserves the right not to award all available funds.

#### Size of Grants

Any grant requested under this call for proposals must fall between the following minimum and maximum amounts:

Minimum amount: EUR 8000

Maximum amount: EUR 10000

The following indicative cost is computed for a 12 month period of a SGP covering 30 villages targeting 7000 Households.

Sr. No	Costs	Unit	No. of Units	Unit Value (Euro)	Total Cost (Euro)
1	Field Supervisor (2)	Month	24	150	3600
2	Supervisor	Month	12	250	3000
3	Awareness Building	Villages	30	20	600
4	Training of Community Leaders and PRIs covering 90 persons	Training	2	500	1000
5	Facilitating GPDP	Village	30	10	300
6	Travel per diem	Month	12	50	600
7	Miscellaneous Activities	Month	12	25	300
8	Office Maintenance and Stationery	Month	12	40	480
9	Accounts Keeping and Audit	Year	1	120	120
	<b>Total</b>				<b>10000</b>

**Note:** The above budget is for 12 months which may be extended to 15 months. However the total amount remains the same.

#### **4. Rules for this Call for Proposals**

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call. The call is available on Unnati website [www.unnati.org](http://www.unnati.org).

##### **4.1 Eligibility criteria**

There are three sets of eligibility criteria relating to:

###### **(i) Who can apply**

- The applicant must be a non-governmental organisation/ civil society organisation (registered as non-profit legal entities)
- The applicant must be working in the 10 identified districts in Western Rajasthan - Jodhpur, Barmer, Bikaner, Churu, Pali, Nagor, Jalore, Jaisalmer, Jhunjhunu, Sikar
- The applicant agency should have FCRA and have been complying with all legal requirements [registration and reporting requirements under the Foreign Contribution (Regulation) Act 2010].

###### **(ii) Actions/ activities for which grant may be awarded**

###### Duration

The duration of an action may not be lower than 12 months nor exceed 15 months.

###### Sectors or themes

For details, see section 2 ‘Objectives of the Programme and Priority Issues’ of the Guidelines.

###### Location

Actions must take place in 10 specified districts of western Rajasthan. Activities outside the mentioned districts will be eligible if they constitute networking, policy dialogue or advocacy for the purposes of the objective, but should only represent a marginal part of the action. These activities will have to be duly justified in the proposal.

###### Types of activities (Indicative and non-exhaustive)

Each CSO shall cover 30 villages incorporating 7000 vulnerable HHs. List of Potential Interventions under this call for proposals to promote and strengthen the objective:

1. Take up awareness building on climate change vulnerabilities and decline in community management of water resources through structured village meetings or mass campaign.
2. Prepare and build capacity of community leaders, preferably women and Dalits to act for creation and revival of community based water resources and CPR by use of public programs and act as water governance champion.

3. Build capacity of panchayats in the intervention area on preparation of GPDP to create and revive water resources and CPR development and implement using the resource envelopes available under public programs.
4. Facilitate implementation of development and revival of at least one CPR or water body in each village emerging out of GPDP. It will be step forward to strengthen water and climate change governance.
5. Increase the participation of dalit and women in the water management issues at the community level
6. Improve the capacity of vulnerable groups to interface with the panchayats on revival of traditional water harvesting mechanism, community management of CPR and practice of climate smart agriculture.
7. Enable vulnerable households to develop water harvesting facilities by using public programs.
8. Build collaborative partnership for community action on climate change and management of water resources.
9. Take up innovative activities with regard to social regulations on ground water management, social enterprise development on solar energy and waste water reuse (Any one among these). Out of 25 SGP, two programs are reserved under innovation category and a full program may be considered based on relevance examined by the project selection committee.

In addition, the proposals should take into account the following working principles:

- a) Focus on impact, outcome and specific and measurable results which make a concrete difference in the lives of women and girls and the community as a whole.
- b) Be evidence-based and use robust monitoring methods, and disseminate results and lessons learned to facilitate opportunities for replications and expansions and ensure optimal use of resources.

The following types of action are ineligible:

- Actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- Actions concerned only or mainly with individual scholarships for studies or training courses.
- Once-off conferences: conferences will not be funded if they constitute a single event and do not form part of a wider range of activities to be implemented over the life-time of the action.
- Actions where financial support to third parties is the main purpose;
- Actions which consist exclusively or primarily in capital expenditure, e.g. land, buildings, equipment and vehicles;
- Actions involving proselytism.

Monitoring and Evaluation

**All applications shall plan the necessary human resources and the appropriate budget to do a baseline, track physical progress and an endline.** Action under SGP will also be reviewed as part of external evaluation of the project being implemented by UNNATI. The action shall include appropriate measures for regular monitoring.

## Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed the action. Efforts must be made to incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action, results and the impact of this support. All campaign material, educational material, banners, literature etc will bear the logos of European Union, UNNATI and the CSO.

## Number of applications and grants per applicant

Applicant may not submit more than one application under this call for proposal.

The applicant may not be awarded more than one grant under this call for proposal.

In exceptional cases, if one CSO intends to work in more than one district, looking into strategic advantage, maximum two SGPs will be granted. However it will be over two different time periods.

### **(iii) Eligibility of costs – Costs that can be included**

Eligible costs are actual costs incurred by the beneficiary which meet all the following criteria:

a) They are incurred during the implementation of the action as specified in Contract.

(i) Costs relating to services and works shall relate to activities performed during the implementation period and indicated in the estimated budget;

(ii) Costs incurred should be paid before the submission of the final reports. They may be paid afterwards, provided they are listed in the final report together with the estimated date of payment;

(iii) An exception is made for costs relating to final reports, including expenditure verification, audit and final evaluation of the action, which may be incurred after the implementation period of the action;

d) They are identifiable and verifiable, recorded in the accounting records of the beneficiary and determined according to the accounting standards and the usual cost accounting practices applicable to the beneficiary;

e) They comply with the requirements of applicable tax and social legislation;

f) They are reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

The financial support will cover the actual cost. **No internal voucher will be permitted under this.** The following direct costs of the beneficiary shall be eligible:

a) The cost of staff assigned to the action, corresponding to actual gross salaries including social security charges and other remuneration-related costs (excluding performance-based bonuses); salaries and costs shall not exceed those normally borne by the beneficiary, unless it is justified by showing that it is essential to carry out the action;

b) Travel and subsistence costs for staff and other persons taking part in the action, provided they do not exceed those normally borne by the beneficiary according to its rules and regulations. In addition, the rates published by UNNATI at the time of contract signature may never be exceeded; (The per-diem for night stay in the villages shall not be more than Rs.100/. For other

travel in the district, the per-diem shall not exceed Rs.350/ on food and Rs.500/ for availing accommodation.)

- c) Depreciation, rental or leasing costs for equipment (new or used) and supplies specifically dedicated to the purposes of the action;
- d) Rental costs related to project office, when a project office is foreseen, duly justified and described in the description of the action and in the special conditions;
- e) Costs of consumables;
- f) Duties, taxes and charges, including VAT, paid and not recoverable by the beneficiary;
- g) The small grant project holder will not bear any self-contribution.

#### Ineligible costs

The following costs are not eligible:

- Debts and debt service charges (interest);
- Provisions for losses or potential future liabilities;
- Costs financed by another programme;
- Currency exchange losses;
- Credit to third parties;
- Salary costs of the personnel of administrations

### **5. Ethics clauses and Code of Conduct**

#### a) Absence of conflict of interest

The applicant must not be affected by any conflict of interest. Any attempt by an applicant to obtain confidential information or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application.

#### b) Respect for human rights, environmental legislation and core labour standards

The applicant and its staff must comply with human rights. Applicants who have been awarded contracts must comply with the environmental legislation, and with the core labour standards as applicable and as defined in the relevant International Labour Organisation conventions (such as the conventions on freedom of association and collective bargaining; elimination of forced and compulsory labour; abolition of child labour).

#### **Zero tolerance for sexual exploitation and sexual abuse**

UNNATI applies a policy of 'zero tolerance' in relation to all wrongful conduct which has an impact on the professional credibility of the applicant. Physical abuse or punishment, or threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation shall be prohibited.

#### c) Irregularities

UNNATI reserves the right to suspend or cancel project financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract. For the purposes of this provision, 'corrupt practices' are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the

contracting authority. If substantial errors, irregularities or fraud are discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

## **6. How to Apply and Procedures to follow**

To apply for this call for proposal, the applicant needs to:

Provide information about the organization involved in action in given format (Annex – 1)

Provide information about the action in given format (Annex – 2)

Following documents must be attached with the proposal:

1. The statutes or articles of association of the applicant.
2. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed).
3. Valid FCRA registration certificate

Proposals (in the format mentioned in annex 1 and 2) with scanned supporting documents listed above may be mailed to [swapni@unnati.org](mailto:swapni@unnati.org). One hard copy must also be posted by registered post to the following address:

UNNATI – Organisation for Development Education  
650, Radhakrishnapuram, Near Lariya Resort  
Pal-Chopasni bypass link road

Proposals must reach before the mentioned deadline – June 20, 2019, 12 hours IST. **The applicant is strongly advised not to wait until the last day to submit** its proposal, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. UNNATI will mail confirming receipt of proposal. UNNATI cannot be held responsible for any delay due to such afore-mentioned difficulties. Any proposal submitted after the deadline will be rejected.

Any error or major discrepancy related to instructions may lead to the rejection of the proposal. Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

Proposals may be made in Hindi or English. Hand-written proposals shall not be accepted. Incomplete proposals may be rejected. Kindly use the formats in the annexures to confirm.

Questions may be mailed to [swapni@unnati.org](mailto:swapni@unnati.org) seeking clarification on any point till 10 days before the deadline. UNNATI does not have the obligation to answer questions mailed after the said date. Individual replies will not be given to questions. Questions and replies as well as other important notices to applicants during the course of the evaluation procedure will be published on UNNATI website [www.unnati.org](http://www.unnati.org) 5days before the deadline.

## **7. Evaluation and Selection of Proposal**



Proposals will be examined and evaluated by the Project Advisory Committee put together by UNNATI consisting of external people with relevant thematic knowledge and experience. All applications will be assessed according to the following steps and criteria.

If the proposed action does not meet the eligibility criteria stated in Section 3, the application will be rejected on this sole basis. If the deadline is not met, the proposal will be rejected. Also, if any of the organization information asked for as per the format in annex 1 is incomplete or incorrect, the proposal will be rejected.

The proposals that pass this check will be evaluated further. The proposals will receive an overall score out of 100 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the proposal format as given in annex 2.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

### Evaluation Grid

<b>Section</b>	<b>Maximum Score</b>
<b>1. Organisational capacity</b>	<b>20</b>
1.1. Does the applicant have sufficient in-house experience of project management?	5
1.2. Does the applicant have sufficient knowledge of the issues to be addressed?	5
1.3. Organisation's understanding on vulnerability and gender	5
1.4. Does the applicant have sufficient staff, equipment and ability to handle the budget for the action; stable and sufficient sources of finance?	5
<b>2. Relevance of the action</b>	<b>20</b>
2.1. How relevant is the proposal to the objectives and priorities of the call for proposals? (section 2)	5
2.2. How relevant is the proposal to the particular needs and constraints of the target region and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?	5
2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?	5
2.4. Does the proposal contain particular added-value elements (e.g. innovation, best practices) ?	5
<b>3. Design of the action</b>	<b>15</b>
3.1. How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2. Does the proposal include baseline study?	5
3.3. Does the design reflect a robust analysis of the problems involved, and the	5

<b>Section</b>	<b>Maximum Score</b>
capacities of the relevant stakeholders?	
<b>4. Implementation approach</b>	<b>15</b>
4.1. Is the plan for implementing the action clear and feasible? Is the timeline realistic?	5
4.2. Approach and strategy of the organisation to leverage government program on creation/ rejuvenation of water resource	5
4.2. Does the proposal include an effective and efficient monitoring system?	5
<b>5. Sustainability of the action</b>	<b>15</b>
5.1. Is the action likely to have a tangible impact on its target groups?	5
5.2. Does the action have scope for replication or knowledge sharing?	5
5.3. Will there be local 'ownership' of the results of the action? Is there any intended impact on procedures for implementation of public programs, governance mechanisms for CPRs, engagement of PRIs etc? Will the action have positive environmental impact?	5
<b>6. Budget and cost-effectiveness of the action</b>	<b>15</b>
6.1. Are the activities appropriately reflected in the budget?	5
6.2. Is the ratio between the estimated costs and the expected results satisfactory?	5x2**
<b>Maximum total score</b>	<b>100</b>

\*\* : This score is multiplied by 2 because of its importance

If the total score for Section 1 (organisational capacity) is less than 12 points, the application will be rejected. If the score for at least one of the subsections under Section 1 is 1, the application will also be rejected.

After the evaluation, a table will be drawn up listing the applications ranked according to their score. The highest scoring applications will be provisionally selected. A reserve list will also be drawn up.

## 9. Notification of Contracting Authority's Decision

The applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail.

## 10. Indicative timeline

	<b>DATE</b>	<b>TIME</b>
2. Deadline for requesting any clarifications from the contracting authority	June 10, 2019	12:00 hrs. IST
3. Last date on which clarifications are issued by the contracting authority	June 15, 2019	-
4. Deadline for submission of proposals	June 20, 2019	12:00 hrs. IST
5. Information on provisional selection	July 15, 2019	-

9. Notification of award (after eligibility check) and contract signature	By July 31, 2019	-
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**10. Conditions for implementation after contracting authority’s decision to award a grant**

Following the decision to award a grant, the beneficiary will be offered a contract between the third party and UNNATI after the signing of which, both parties agree to mentioned conditions. It will be in the form of grant-second recipient under FCRA.

50 % of the grant (5000 Euro) will be released as first installment after signing the contract. After receiving the six monthly financial and narrative reports, another 40% of the grant (4000 Euro) will be released. The last 10% (1000 Euro) will be released after the completion of the task and submission of the end report in desired formats.

## Annex – 1

### Organisational Information

1. Name of the organization:
2. Contact details (contact person, address, phone/ fax, e-mail):
3. Type of organization:
4. Date of registration:
5. FCRA registration no. and date:
6. Brief description of the organization/ nature of activities that the organization is doing (1000 words)  
*Specifically mention whether the organization has previous experience of working on drought risk reduction, water security, sustainable agriculture, Natural Resource Management (NRM), CPR regeneration and management, CCA and M, environment protection, bio-diversity etc. Mention details of similar projects managed in the last 3 years. Who have been the organisation's primary target groups? Especially mention prior experience of working on issues of dalits, women and girls.*
7. Annual budget of the organization in INR (last financial year):
8. Organisational chart (mention clearly the number of male and female programmatic and administrative staff)
9. Governance of the organisation – Please include details of Board Members, Number of Board meetings in the last year and date of last Board meeting

Date:

Signature of authorized signatory:

Stamp:

## Annex - 2

### Description of Action

#### 1. General information

Name of Applicant	
Title of Action	
Location of Action	
Duration of the Action	
Cost of Action	

#### 2. Brief outline of project

Objective of action	
Target group(s)	
Final beneficiaries	
Estimated results	
Main activities	

3. Relevance of the action (Problem definition – not more than 1000 words)

4. Project concept/ Intervention logic (what you intend to do? – not more than 500 words)

5. Project objective and strategy (not more than 500 words) Specifically mention approach and strategy of the organisation to leverage government program on creation of water resource creation/ rejuvenation

6. Outline the activities

7. Estimated budget (Is there co-financing from other sources/ community participation/ government etc)

8. Monitoring system foreseen in the project

9. Innovative features or value-added elements (not more than 100 words)

10. What makes the project eligible for SGP? (not more than 50 words)

11. Impact of the project (in terms of community ownership, replicability, contribution to government programme implementation or policy advocacy)