

Valid as of 1st August 2011

GLOBAL POVERTY ACTION FUND (GPAF): IMPACT WINDOW GUIDELINES FOR APPLICANTS

Please note: These are new guidelines. Please read them carefully, even if you have made GPAF Impact applications 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. Please note that GPAF funding cannot be used for awareness-raising activities in the UK.

In addition all projects will need to (a) demonstrate good value for money and (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 particularly excluded in the local context).

2. Specific focus of the GPAF Impact window

Impact grants aim to fund poverty reduction initiatives which are directly linked to the [Millennium Development Goals \(MDGs\)](#) and those projects which are focused on off-track MDGs will be given priority. Impact grants should be lower risk projects than those for the Innovation Window, for work at greater scale to deliver real benefits for men, women, boys and girls.

3. What has changed since the last GPAF Impact round?

3.1 Changes to the General GPAF objectives

The GPAF programme objectives have been broadened to include some of the initiatives previously covered by the Civil Society Challenge Fund (CSCF), which is no longer open for applications. As indicated above, the GPAF can now support projects that have a focus on:

- **Service delivery** that is focused on achieving the MDGs
- **Empowerment and accountability**, working at different levels:
 - Empowering individuals to take greater control over their lives and to hold their government to account;
 - Strengthening community action to manage natural resources, demand better services, justice and security and better management of local government;
 - Supporting changes to policy and institutions (including through use of media), which would support and sustain improvements to people's livelihoods;
- **Conflict, security and justice** by supporting peace-building and conflict resolution at the grass roots level, and access to justice and legal empowerment.

However, such initiatives 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**.

3.2 Changes to the specific guidelines for the GPAF Impact window

We have incorporated in to the guidance learning from the first GPAF Impact round The main changes are as follows:

- A definitive list of [GPAF eligible country bases for applicant organisations](#) has been prepared. Non-UK based organisations must be based in one of the 27

"focus" countries which were announced by the Secretary of State following the Bilateral Aid Review earlier in 2011.

- A definitive list of [GPAF eligible project countries](#) has been prepared taking into account the recommendations of the recent Bilateral Aid Review, and including countries in the bottom 50 of the Human Development Index.
- There is [new guidance](#) on the preparation of logframes and a [new logframe template](#) in Excel format.

4. Applicant Eligibility

4.1 We can consider applications to the GPAF Impact window from:

- most UK-based, non-governmental, not-for-profit groups. Please refer to 4.2 and 4.3;
- locally registered Civil Society Organisations (CSOs) based in the 27 DFID "focus" countries. Please refer to 4.4.

4.2 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 or governance document and an independent board of trustees. You may be asked to provide relevant documentation as evidence of this status.

4.3 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.

4.4 To be eligible for the GPAF Impact window, CSOs based in one of the 27 DFID "Focus" countries must be locally registered and independent. If your organisation is part of a larger international family, we will expect you to demonstrate significant autonomy. You must be locally registered and have your own local constitution or governance document and an independent board of trustees. We may request to see relevant documentation to support this.

4.5 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](#).

4.6 For this fund we cannot consider applications from the following types of organisation:

- 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
- Governmental & inter-governmental organisations (or any other organisation which reports directly to government)

4.7 We also cannot consider applications from any organisation which:

- Is actively involved in proselytising
- 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.

4.8 While applicant organisations do not have to work through a local partner organisation in the project country, there should be clear mechanisms in place to enable beneficiaries to participate in the design, management and implementation of the project and enhance the sustainability of the project after DFID funding has ended.

5. Consortium applications

5.1 DFID define a consortium as any group of organisations who have a common interest in the type of work they want to do and have an agreement to work jointly towards agreed outcomes. DFID would expect such a consortium to have an agreed Memorandum of Understanding (MoU) or similar document to define the parameters of the group. The roles of each member and the added value of working together as a consortium should be clear.

5.2 Existing consortia or those which have come together around a particular project may apply. However, all consortium members must meet the eligibility criteria and 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.

5.3 All consortium members must be listed on the Concept Note form.

5.4 Organisations may apply for both individual and consortium projects at the same time. However, both applications would count towards the maximum number of applications per funding round. If successful the consortium bids would count towards the maximum grant allowance of three GPAF Impact grants at any one time.

6. GPAF Impact window - What can and cannot be funded?

6.1 GPAF Impact window grants can be used to fund new, time-limited projects of up to 36 months duration.

6.2 The Fund Manager will consider requests for DFID funding of proposals with a minimum requested amount value of £250,000 and a maximum requested amount value of £4 million for the life of the project. Please note that:

- a minimum of 25% match funding is required for the Impact window. Please refer to 6.3 to 6.5.
- the annual value of all GPAF grants that you hold must be less than 40% of your organisational annual income. Please refer to 6.5.

6.3 Match funding of 25% is required for the Impact window. We will provide up to 75% of the costs with your organisation or consortium providing the remaining 25% either from your own resources or from another external source but excluding all other DFID funds. The matched funding has to be secured for the first year of the project, and the organisation will be assessed for its capacity to continue to match fund throughout the duration of the project. "In kind" contributions cannot be used as part of the match funding.

6.4 We are very keen for organisations to demonstrate a firm commitment to their projects and help to reduce the level of risk for DFID. Proposals which are deemed to be technically strong would stand an increased chance of being successful if they demonstrate a level of match funding above the minimum 25%.

6.5 Each organisation can have a maximum of three impact grants at any one time, however the combined annual value of these grants must not exceed 40% of your annual income. We will calculate your annual income by taking the average of the most recent three years' income as shown in your annual audited accounts. The following examples indicate how this figure is calculated and applied:

Example 1: An organisation with an average annual income of £400,000 submitting a Concept Note requesting £450,000 from DFID over three years:

The average annual request is calculated as £450,000 / 3 years = £150,000

The average annual request as a percentage of the organisation's average annual income = £150,000 / £400,000 x 100 = 37.5% (as this is less than 40% it would be acceptable).

Example 2: As in example 1 above but where the organisation already holds another on-going GPAF grant with an average annual budget of £100,000.

The total annual value of the grant and the new request would be £150,000 + £100,000 = £250,000.

In this case the average annual request plus the average annual value of the existing grant as a percentage of the organisation's average annual income would be = £250,000 / £400,000 x 100 = 62.5%. In this case the Concept Note would be rejected.

6.6 GPAF funding can be used to support projects working in all 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.

6.7 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, and purchase of vehicles) 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.

- **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.

7. How to apply for funding under the GPAF Impact window

7.1 Applications must be completed, in English, on the concept note form provided. We will not consider applications submitted in any other format. Please ensure that you follow the guidance at the front of the form regarding formatting and page length. You should also complete the eligibility, validity and concept note documentation checklists at the front of the form to help ensure that you have complied with the programme requirements.

7.2 The concept note is a short document which helps us to easily identify any organisations who do not meet the basic criteria for an Impact grant at an early stage and to identify those that are best suited to the programme criteria.

7.3 Up to three concept notes (for different projects) can be submitted to each Impact round. If you are applying as part of a consortium, this will also count towards your total of three.

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

- A [log frame template](#) (now in Excel format) with the first two columns and activities log completed. Please refer to 7.5 below;
- An electronic copy of your organisation's constitution or governance document

7.5 The first two columns of the logframe should be completed following the guidance within the template and the [DFID How To Note of January 2011](#). Please note that this is different to the How To Note used for the previous GPAF rounds. Although the How To Note indicates that the Activities Log is not mandatory, this is not the case for the GPAF, and all logframes for GPAF must include an Activities Log with the first two columns completed. All log frames must be in Arial Font 9 and keep within the line limits.

The full list of [DFID standard and suggested indicators](#) can be found in a spreadsheet on our website beside the other GPAF documents. The spreadsheet is not specific to the GPAF but instead contains indicators across a range of themes applicable to the broader work that DFID does e.g. humanitarian indicators are included even though the GPAF does not support this type of work.

You should use indicators which you feel are most appropriate and relevant for your project. The standard and suggested indicators are neither mandatory nor exhaustive, however, where they fit neatly with the work you are undertaking we would prefer them to be used.

7.6 There is no formal resubmission process for the GPAF. You should consider very carefully the feedback provided on any previous concept note or proposal before deciding whether to submit a new concept note for the same project in a future round. All concept notes will be considered in competition with others submitted to the same round.

7.7 All completed concept notes must be submitted electronically to: GPAFimpact@tripleline.com. If you are submitting more than one concept note, each should be attached to a separate e-mail.

7.8 The deadline for the submission of Concept Notes to this GPAF Impact round is: ***23:59 (BST) on 19th September 2011.***

8. Appraisal of concept notes

8.1 Concept notes will be logged and an acknowledgement e-mail will be issued providing a unique reference number for your concept note within two weeks (10

working days) of the closing date. The reference number should be used in all communications about your concept note.

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

8.3 Eligible and valid concept notes will be appraised in relation to the key GPAF Programme objectives and more specifically: a) the potential poverty impact of the proposed project; and b) the capability of the applicant organisation(s) and where relevant, the partners, to implement the project. Value for money and gender and diversity considerations will also be taken into account. . The best concept notes will be selected to proceed to the next stage i.e. the preparation of a full proposal.

8.4 Our assessment will be based on the information which is explicitly contained within your concept note. 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 account of the management and performance of previous projects funded by DFID when making final decisions.

8.5 The document [GPAF Concept Notes - Key Strengths and Weaknesses](#) presents some of the key strengths and weaknesses identified during the appraisal of the first round of GPAF Impact concept notes. We recommend that all applicants should review this document,

9. Notification of outcome and next steps

9.1 All applicants will receive notification of the outcome of the appraisal of their concept note. The notifications should be issued no later than 19th December 2011.

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

9.3 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 fully completed project logframe (or logical framework), a detailed budget, a project organisation chart, a project schedule/Gantt chart, and your most recent organisational accounts.

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