

Activity Submission Guidelines

Date of Issue: Feb 09

These guidelines provide guidance to agencies that plan to submit proposals for funding under the Australia China Environment Development Program (ACEDP). They supersede all previous guidelines.

Potential applicants are advised to visit the ACEDP website (<http://www.acedp-partnership.org>) from which reference documents can be downloaded.

As an Australian Government initiative, funding under the ACEDP must be in accordance with Australian policies on 'development aid to foreign countries', available on the AusAID website (<http://www.ausaid.gov.au/keyaid/default.cfm>). This includes, but is not limited to, policies on Gender & Development, the Environment, Fraud Control, Child Protection and Disaster Proofing (note that the latter one is not yet a policy). Activities must also comply with pertinent Chinese legislation.

1 Aims and Objectives

The ACEDP is a five-year, A\$25m Australian Government, AusAID initiative that aims to support and improve policy development in China in the area of environmental protection and natural resources management. The primary focus of the ACEDP is on water resources and integrated river basin management, but there is flexibility to address other emerging environmental priorities by agreement between the two governments.

The ACEDP will facilitate engagement between Australian and Chinese Government agencies, institutions and individuals engaged in national environmental policy development and implementation through a combination of high-level policy dialogue, capacity building and collaboration on discreet activities. The ACEDP has three components:

- Component 1 Environmental Governance and Dialogue – Objective: To demonstrate methods and applications of improved environmental governance in China and to develop and enhance the environment policy dialogue between China and Australia

- Component 2 Integrated River Basin Management – Objective: To assist with the practical application of Integrated River Basin Management principles in China

- Component 3 Program Management – Objective: To provide strategic direction to, and effective coordination and efficient management of, the Environment Program.

2 Funding

ACEDP contributions are capped - for 'New Activities' at A\$ 200,000 and for 'Complementary Activities' that support existing ACEDP or other AUSAID projects at A\$ 100,000.

Cost sharing arrangements between China and Australia are guided by the 2006 'Memorandum of Understanding Relating to the Australia China Environment Development Program under the Program of Technical Co-operation for Development between the

Government of Australia and the Government of the People's Republic of China' as well as by the ACEDP-specific arrangements that were endorsed by AusAID and MOFCOM in 2008.

In summary, under these arrangements, Australia is responsible for all foreign currency costs while China is responsible for most national currency costs. The MOU and the previous intergovernmental agreements to which it refers can be downloaded from the ACEDP website (<http://www.acedp-partnership.org>).

Before any funding is released, the applicant or the implementing agency must sign a contract with the PCO that outlines the specific scope of services, any milestones that have to be met and reporting requirements. A proportion of funding will be withheld until PCO approval of the Activity Completion Report that must also include a detailed acquittal of funds.

3 Eligibility

- Program core partners, government agencies and institutions of civic society in Australia and China are eligible to apply for funding under the program, provided their application is consistent with the strategic direction of the ACEDP program. The Strategic Direction paper can be downloaded from the ACEDP website www.acedp-partnership.org
- In the case of funding constraints, requests for complementary activities that aim to facilitate policy up-scaling of existing projects, foster intra-program networking and inter-agency collaboration, or that follow up on previous AusAID projects, will be given priority
- Recipients of current or previous ACEDP funding are eligible to re-apply, subject to having met their contractual responsibilities under any ongoing or previous funding
- Applicants must demonstrate sound project management experience, including in managing public funds. Previous performance in managing Australian Government funds may be taken into account by the ACEDP.

4 Submission

On request, the PCO can assist applicants in proposal formulation and identification of suitable counterpart agencies in Australia and/or China. Proposals can be submitted at any time. They must be submitted in the English language in the appropriate ACEDP format

- Annex A for complementary activities, capped at A\$ 100,000
- Annex B for new activities, capped at A\$ 200,000.
- Annex C for emerging priorities, capped at A\$ 100,000

The Program Coordination Office, in collaboration with the Environment Advisory Team, will appraise proposals in March and September of each year. Four weeks prior to that appraisal, the PCO will circulate applications to all nine program core partners, giving them 10 working days time to comment. A nil response shall be deemed to constitute endorsement.

Emerging priorities will be assessed out of session at any time. The financial limitation for emerging priorities is A\$100,000 per activity. The combined expenditure for all emerging priorities in any given financial year must not exceed ten percent of the planned annual program budget for that year.

5 Selection

The PCO and EAT will assess proposals, taking into consideration comments made by program core partners, and produce a consolidated merit list for approval by AusAID and MOFCOM. Activities will be assessed against the following criteria

- i) Consistency with the ACEDP aim of supporting and improving policy development in China in the area of environmental protection and natural resources management
- ii) Demonstrable contribution to one or more of the ACEDP policy outcomes
 - Effective horizontal and vertical inter-agency coordination and collaboration
 - Science based decision making and adoption of system approaches
 - Effective public engagement and participation
 - Economic incentives and market based approaches to water resource allocation
 - Enhanced linkages between Australian and Chinese environmental agencies
 - Policy dialogue between Australia and China
- iii) Detailed work plan and realistic budgets
- iv) Long-term sustainability of activity outcomes, without dependence on continuing ACEDP funding
- v) High-level national government policy priority in Australia and/or China.

The PCO will communicate the approved merit list to program core partners and advise applicants of the outcome. The approved merit list constitutes the program pipeline.

6 Responsibilities of Parties

Applicants that decide to submit proposals for funding are responsible for ensuring their application meets the requirements set out in these guidelines and its attached annexures. Successful applicants (complementary and new proposals) will be required to produce an Activity Design Document in the appropriate ACEDP format ([Annex C](#)).

The PCO will appraise all activity design documents for their technical/scientific integrity; their consistency with ACEDP requirements on cost sharing, monitoring & evaluation and social impact management, public participation & gender mainstreaming; and, where required, reconfirm their policy priority.

The applicant is responsible for making necessary revisions to the ADD that will then be submitted to AusAID/MOFCOM for final clearance. In most cases, the applicant will already have identified a partner agency (with or without assistance from the PCO) and this may limit the need for public tender.

The applicant and the PCO will then negotiate and execute a contract that sets out parties' responsibilities, including reporting requirements, and release of funding against milestones. The contracted agency is responsible for activity management while the PCO remains responsible for overall quality control and management of the contract during the lifecycle of the activity.

7 Cross-cutting Issues

Monitoring and Evaluation (M&E) are a joint responsibility of all parties, Australian as well as Chinese. Implementing agencies are responsible for implementing M&E measures consistent with the requirements of the ACEDP M&E Framework that may be updated from time to time.

The Social Impact Management, Public Participation and Gender Mainstreaming (SP&G) Framework is a program specific response to ensure program activities are sensitive towards potential negative social impacts of policies, foster and encourage public participation at all levels and adhere, where relevant, to AusAID's four gender policy outcomes

- Improved status of women
- Equal participation of women in decision-making and leadership...
- Improved and equitable health & education outcomes for women, men, girls and boys
- Gender equality advanced in regional cooperation efforts.

Implementing agencies are responsible for implementing SP&G measures consistent with the requirements of the ACEDP SP&G Framework.

All parties will be required to participate in program wide activity networks that will involve knowledge sharing with other ACEDP funded activities, with bi- and multilateral donors and, where appropriate with industry and NGO initiatives.

Poverty reduction remains an overarching goal of the Australian ODA program and AusAID's China Country Program Strategy aims to address poverty reduction through a comprehensive and integrated approach to natural resource management and environmental governance.

The Activity Design Document requirements have been expanded to allow for more details in design and implementation for projects that aim to engage civil society.

Disaster proofing is an emerging strategy for AusAID that aims to mitigate the risks of natural disasters that could wipe out the positive outcomes of years of development efforts. Consideration to risk identification and possible mitigation measures should thus be given at the early design stage of any activity.

As part of the AusAID accountability procedures, AusAID funded activities are subject to independent audit from time to time. Implementing agencies will be required to provide appropriate information, should an audit be conducted of their activity.

Parties are responsible for ensuring their activities are consistent with AusAID policies on gender equality, governance, anti-corruption, environment, child protection and HIV/AIDS. These and other documents can be downloaded from AusAID's website (<http://www.ausaid.gov.au/publications>).

8 Annexures

- (A) Proposal Note for Complementary Activities
- (B) Proposal Note for New Activities
- (C) Proposal Note for Emerging Priorities
- (D) Activity Design Document Preparation Guidelines

Please direct any queries to the Program Coordination Office in Beijing
acedp@acedp-partnership.org

Complementary Activities Proposal

ACEDP contribution of A\$100,000 maximum – proposal not to exceed 3-4 pages

1. Which ACEDP activity do you aim to complement / support ?

ACEDP Activity:

2. Applicant information

Full Name of Organisation:

<u>Contact Officer</u>	Name	Title / Position
	Email	Mobile
	Phone	Fax

3. Partner organisation

Full Name of Organisation:

<u>Contact Officer</u>	Name	Title / Position
	Email	Mobile
	Phone	Fax

4. Your proposal

4.1 Title

4.2 Describe briefly how it will support the ACEDP activity

4.3 Objectives

4.4 Approach / Methodology

4.5 Main activities / milestone activities

4.6	Outcomes
-----	----------

5. Cross-cutting Issues

5.1	Briefly describe if your proposal will affect any of the four AusAID gender policy outcomes: <ul style="list-style-type: none"> - Improve the status of women - Equal participation of women in decision-making and leadership - Improved and equitable health & education outcomes for women, men, girls and boys - Gender equality advanced in regional cooperation efforts
-----	---

5.2	Is there a risk of natural disasters in the project area and are you mitigating these risks?
-----	--

6 Estimated start and finish times

Start

Finish

7 Break down of costs – please indicate if A\$ or RMB – in kind or in cash

	Applicant Contribution	Partner Contribution	Third Party Contribution	Funds Requested from ACEDP	Total
Staff Costs					
Administration / overheads					
Consultants					
Travel (tickets, travel allowance,					
Workshops / Seminars					
Other					
Total					

I hereby certify that the above document is correct to the best of my knowledge and that contributions constitute a genuine commitment.

The appropriate financial delegate of the applicant organisation must sign this proposal note and e-mail it to the Program Coordination Office in Beijing at acedp@acedp-partnership.org

Signature of office holder

Name & Title

Date

New Activities Proposal

ACEDP contribution of A\$200,000 maximum – proposal not to exceed 5-6 pages

1. Applicant information

Full Name of Organisation:

<u>Contact Officer</u>	Name	Title / Position
	Email	Mobile
	Phone	Fax

2. Partner organisation

Full Name of Organisation:

<u>Contact Officer</u>	Name	Title / Position
	Email	Mobile
	Phone	Fax

3. Your proposal

3.1 Title

3.2 Objectives

3.3 Approach / Methodology

3.4 Main activities / milestone activities

4 Describe in detail the environmental/policy outcome(s) you hope to achieve

5. Cross-cutting Issues

5.1 Briefly describe if your proposal will affect any of the four AusAID gender policy outcomes:

- Improve the status of women
- Equal participation of women in decision-making and leadership
- Improved and equitable health & education outcomes for women, men, girls and boys
- Gender equality advanced in regional cooperation efforts

5.2 Is there a risk of natural disasters in the project area and are you mitigating these risks?

Australia China Environment Development Program
Partners for a Better Environment

6. Describe in detail your proposed program of work (work plan) - indicate times by placing xxxx in the table below

Component Reference No	Description	Unit	Qty	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Component 1															
- Task 1.1															
- Task 1.2															
- Task 1.3															
Component 2															
- Task 2.1															
- Task 2.2															
- Task 2.3															
Component 3															
- Task 3.1															
- Task 3.2															

7. Describe in detail the activity budget

	Applicant Contribution	Partner Contribution	Third Party Contribution	ACEDP Funding	Total
Staff Costs					
- Salaries					
- Travel					
- Admin					
- Other					
Consultants					
- Fees					
- Travel					
- Per Diems					
- Other					
Training					
Workshops					
Procurement					

8 Estimated start and finish times

Start

Finish

I hereby certify that the above document is correct to the best of my knowledge and that contributions constitute a genuine commitment.

The appropriate financial delegate of the applicant organisation must sign this proposal note and e-mail it to the Program Coordination Office in Beijing at acedp@acedp-partnership.org

Signature of office holder

Name & Title

Date

Emerging Priority Proposal

ACEDP contribution of A\$100,000 maximum

1 Applicant information

2 Partner organisation

3 Your proposal

3.1 Title

3.2 Rationale for Emerging Priority Status

3.3 Shared Australian / Chinese Interest in this Activity

3.4 Objective(s)

4. Describe your proposed activity

4.1 Main Activity Components / Objectives / Outputs

- 1..
- 2..
- 3..

4.2 Approach / Methodology

5 Describe the environmental / policy outcome(s) you hope to achieve or contribute to

5.1 Specific Immediate Outcomes

Outcome 1

Outcome 2

.....

5.2	Longer term contribution to ACEDP policy outcomes
-----	---

Outcome...

Outcome...

6	Cross-cutting Issues
----------	-----------------------------

6.1	Briefly describe if your proposal will affect any of the four AusAID gender policy outcomes: <ul style="list-style-type: none">- Improve the status of women- Equal participation of women in decision-making and leadership- Improved and equitable health & education outcomes for women, men, girls and boys- Gender equality advanced in regional cooperation efforts
-----	--

6.2	Is there a risk of natural disasters in the project area and are you mitigating these risks?
-----	--

8 Describe in detail the activity budget (AU\$)

	Applicant Contribution	Partner Contribution	Third Party Contribution	ACEDP Funding	Total
Staff Costs					
- Salaries					
- Travel					
- Admin					
- Other					
Consultants					
- Fees					
- Travel					
- Per Diems					
- Other					
Training					
Workshops					
Procurement					

9 Estimated start and finish times

Start

Finish

I hereby certify that the above document is correct to the best of my knowledge and that contributions constitute a genuine commitment.

The appropriate financial delegate of the applicant organisation must sign this proposal note and e-mail it to the Program Coordination Office in Beijing at acedp@acedp-partnership.org

Signature of office holder

Name & Title

Date

Activity Design Document Preparation Guidelines

Revised version Feb 2009

Introduction

These guidelines describe a design method and resulting documentation for activities to be included in the Australia China Environment Development Program (ACEDP).

In March and September of each year the PCO, in collaboration with the EAT, assesses new or complementary proposals for inclusion in the ACEDP program pipeline. Upon endorsement of the pipeline by AusAID/MOFCOM, proposing agencies are required to produce an Activity Design Document, following these guidelines. The guidelines comprise of four parts that are described in detail below.

These guidelines supersede all previous guidelines.

An ADD should be succinct, accurate and comprehensive. It should provide the reader with a clear understanding of what the activity aims to achieve, how it will achieve that and what its outcomes and its risks are. It is anticipated that an ADD would be between 5-10 pages, depending on complexity, plus attachments. The ADD must have an Executive Summary of not more than half a page.

The ADD must be the joint product of Australian and Chinese efforts – achieved either through a joint expert team or through extensive collaboration and negotiations between Chinese and Australian partner agencies.

PART 1 – Analysis

Part 1 of the ADD analyses the reason for the proposed activity and appraises its feasibility. It follows several logical steps

- A description of the current situation in the ACEDP project that the ADD aims to complement or address
- A rationale of why assistance is required or a ‘theory of change’
- An analysis of opportunities/constraints in relation to social impact management, public participation and gender mainstreaming (refer to ACEDP SP&G Framework)
- An analysis of risks and mitigation strategies
- An analysis of likely natural disaster impact in the project area and mitigation strategies.

PART 2 – Scope

Part 2 of the ADD defines and describes the scope of the proposed activity

- It must clearly show how the activity either contributes to higher policy or program level outcomes of existing ACEDP activities (ie complementary), or
- How it adds value to program outcomes as a new and stand-alone activity

- The activity must be fully owned by the respective counterpart and/or recipient agency. Only they are in a position to determine what is realistic in the national policy context, what can be achieved within the institutional framework and what resources are required
- Scoping the activity must therefore be a true joint effort, involving both Chinese and Australian expertise
- The output is a 'Results Frame' that links inputs to outputs and outcomes; that identifies milestones and; that must be compatible with the ACEDP Monitoring & Evaluation Framework, in particular with its six policy outcomes.

Part 3 – Engagement of Civil Society

For any project that involves formulation / implementation of environmental protection policy and that (i) has direct implications for public well-being / livelihood; (ii) requires public compliance/cooperation and/or; (iii) seeks to inform /influence behaviour, the ADD should incorporate provisions in the workplan and budget for the development and implementation of a plan to engage civil society representatives during project implementation. The ADD should clearly state

- The purpose of the proposed public participation
- The person(s) responsible for planning and implementing public participation and their relevant experience in that process
- The level of capacity building that may be required to support that person(s)
- Outline key components of a Public Participation Plan as part of the ADD
- Identification of any secondary sources to address public concerns / social impacts, eg lessons learned from previous projects, statistical analyses, etc
- Identification of pertinent legislation and regulations.

Part 4 – Work Plan

Part 4 of the ADD converts the project scope to a detailed costed Work Plan

- This requires breaking down the project scope into discreet tasks and identification of the resources required to carry out these tasks
- It includes sequencing these tasks, determining their duration and estimating costs
- The Work Plan will provide a summary description of the tasks required to achieve activity outputs, the quality required, communication, organisation and staffing, risk response and, where applicable, procurement plans
- This results in an overall project budget, disaggregated by Chinese and Australian inputs / tasks.
- The Work Plan must be fully compatible with the 'Results Frame'.

PART 5 – Activity Management

Part 5 of the ADD is concerned with project execution. The ADD should describe the organisational structure and processes required to implement the Work Plan, either as an integral part of an existing ACEDP activity or as a new activity. This will include

- Description of the activity implementation team – disaggregated by Chinese and Australian members
- The proposed contractual arrangement between the activity manager and the ACEDP – only if this is not a tendered activity

- The partnership arrangements between the activity team and other agencies and organisations, and a description of the form of agreement that establishes these arrangements
- Supervisory and quality control mechanisms such as steering committees
- Identification of milestones and the specific measurable outcomes that must be achieved to meet these milestones
- Monitoring and evaluation procedures that must be consistent with the ACEDP M&E Framework
- Social Impact Management, Public Participation and Gender Mainstreaming procedures an that must be consistent with the ACEDP SP&G Framework
- Description of integration with other ACEDP activities.