OCIC Draft Notes from November 28, 2017 Webinar

Re: Global Affairs Canada's 2017 Preliminary Calls for Proposals

Global Affairs Canada Webinar Speakers:

Kei Ebata: Senior Advisor, Operational Policy and Process

Wayne Restoule: Results-Based Management Advisor

Sophie Lam: Senior Gender Equality Specialist

Jennifer Erickson: Senior Analyst, Human Rights

Anushka Shibchurn: Environment Advisor

Moderator: Michelle Bested, CCIC

Kei Ebata: Senior Advisor, Operational Policy and Process
- Will not talk about requirements specific to SMO call, but general tips on applying to any calls for proposals
- All the info is available on the GAC website, www.international.gc.ca under services, choose "Canada and the World" and then "Funding for International Initiatives" and then "Partners @ International"
- Will only accept applications through the portal
- Will not accept late submissions for any reason, so apply early
- Don't lose your login information
- There is a recommended list of documents; unless specified on a call page these documents are not mandatory
- If your organization has any of these documents, please upload them
- If you choose, "International development funding" will show calls for proposals and steps to apply
- The main change in the process is that it's now a 2 step process. The first stage is that you submit a preliminary proposal. Strong proposals will be assessed and if approved you will be invited to submit a full proposal - that's the second stage. At that stage you will be assessed based on the strength of your proposal not based on comparison with others

- GAC will do a global assessment of proposals; there are no specific sections in preliminary process for gender analysis, human rights analysis and environmental sustainability assessment, but is important that these are included
- GAC will be looking for signs that you have financial capacity; cost-sharing; financial statements
- Prefer audited financial statements, but if don't have these can submit internal financial statements but must be signed
- A preliminary proposal is not a concept note; you must show that it's grounded in appropriate analysis

· **Wayne Restoule: Results-Based Management Advisor**
- Everything presented will be found in more detail on GAC's website including an RBM how-to guide
- Theory of Change is important in managing for results
- Every program or project is based on a Theory of Change describing how or why program is intended to work, including expected results / outcomes
- It's important to note that for GAC, outcomes = results (outputs are products and services, not results)
- You should focus on what is not explicit in the logic model and how outcomes will evolve
- You should reference evidence and best practices and these linkages
- A Theory of Change should be accompanied by a logic model
- Theory of Change should be based on a situation analysis to identify issues you plan to address and the context in which those issues exist, and you should use consultation and research evidence
- The logic model is a visual picture; is both a planning and design tool; forms a pyramid and depicts the logical connection with the planned outputs and the immediate and intermediate outcomes
- There are arrows between the logic models and show why the changes at one level lead to or contribute to changes at the next level (so shows info that is not explicit but shown by the arrows); is also a vertical logic to achieve the next level
- The assumptions are the spaces between the levels in the logic model
- Assumptions should be talked about in your Theory of Change as well, so that it's clear
- Theory of Change is really a narrative that accompanies your logic model; describe assumptions, risks, and things that are not explicit in your logic model
- Theory of Change should also include things raised in your gender equality, human rights and environmental analyses, so make sure to integrate all of this
- The Theory of Change can be a maximum of 7 pages; start at the ultimate outcome level and structure it based on the different outcome levels
- Describe the most important assumptions you're making
- Use references, quotes, data and evaluations used from partners etc. to bolster the arguments you're making; refer to the work of other projects and evaluations; explain what consultations you used and the outcomes of them

- If you have a large project, should have a bit more detail; details are relative to the size and scope of your project
- In the how-to guide on pages 13, 51, 71 and 78 you'll find additional guidance
- To recap: The Theory of Change is a series of ideas of how and why the project will achieve expected results; include info not explicit in logic model; refer to the issues addressed in the gender and human rights analysis and how environmental sustainability is addressed in the project

- **Sophie Lam: Senior Gender Equality Specialist**
- Will speak about 3 key thinks: a) Alignment with Canada's Feminist International Assistance Policy (FIAP); b) Gender equality analysis, and c) Gender equality results
- All preliminary proposals must align with Canada's FIAP (released June 2017)
- FIAP is fundamentally rooted in achieving gender equality and empowerment of women to build a more inclusive and peaceful world and will of course include the engagement of men and boys; examines the dynamic of power
- GAC will assess how closely preliminary proposals align with this policy, especially the 6 action areas
- All preliminary proposals must show that a sound gender equality analysis has been conducted; are looking for a preliminary gender equality analysis which should be scoped to the nature and scale of your project
- This includes the needs and interests of women and men; roles of women and men including workload; access to and control over resources, decision making abilities; diversity gender disparities along gender lines, age, class, ability, religion, sexual orientation etc.
- Your analysis should look at country and regional commitments to gender equality
- It should look at whether there is sufficient capacity to implement
- It should be evidence based and cite research and sources
- Go to the Status of Women Canada's website; has a free gender equality course online (takes about 3 hours)
- The gender equality analysis must be reflected in both the logic model and the Theory of Change
- In terms of gender equality results, these are changes that address a reduction in gender inequality or an improvement in gender equality and contribute to one of 3 objectives: enhance and promote the rights of women and girls; increase decision making of women and girls; increase access of women and girls to resources and control of resources related to economic
- You should address what you expect in the project
- There are three levels of results – lowest level are at the immediate outcome level (a partial integration); will result in the change in capacity i.e. skills, knowledge etc. (e.g. training of health care workers)
- Next level is at the intermediate level (is full integration); will expect results in observable changes in behaviour, practice or influence (eg. if trainees in health actually influence decisions, policy etc.)

- Gender equality results at the ultimate outcome level = if a project's ultimate objective is to decrease violence against women and girls; project collects data on and influences incidence of violence against women and girls
- Theory of Change needs to discuss assumptions, risks and how the project will achieve these results
- A caution: A project focused on women and girls doesn't necessarily mean that it has gender equality results; are looking for influencing gender equality
- To recap: Make sure you align closely with FIAP; Conduct analyses relevant to focus and scope of project; Ensure gender equality results are shaped by the gender equality results and shown at different levels of logic model and Theory of change include risks, assumptions and explain how project will achieve gender equality results
- The degree of consultation is up to your judgement, but GAC will be looking to see how women and girls have been consulted and how and if their say has been reflected
- GAC will be assessing does this project address existing powder structures; does it address gaps in gender equality?

· **Jennifer Erickson: Senior Analyst, Human Rights**
- The policy context – Canada's FIAP is committed to providing international assistance based on human rights principles regardless of identity; includes gender equality and recognizing intersectional lines can lead to greater marginalization and vulnerability
- Preliminary human rights analysis should be scoped and appropriate to size of your project
- Keep in mind it's just a preliminary analysis required for the preliminary proposal
- You must show that first you've done your research and you understand the human rights situation in the country, including what are the human rights instruments the country has signed on to, what is the situation regionally?
- You must show you have an understanding of the local context – who are you proposing to work with; who are the most marginalized, and why; are there information norms or barriers
- Show you understand the core problem(s) from a human rights perspective – what is the status quo, and who's benefitting from the status quo?
- You must show you understand why some groups are unable to claim their human rights – who are those groups, why, what are those barriers?
- You should have enough evidence to influence your Theory of Change and logic model
- GAC wants to see your assumptions are based on evidence gathered through your human rights analysis; show you are explicitly considering human rights
- GAC will be looking for how your proposal is addressing key human rights principles – i.e. transparency and accountability; non-discriminatory, more inclusive, participatory etc.
- You don't have to address all of the human rights principles in your Theory of Change
- At the intermediate outcome level – don't need to focus exclusively on human rights principles, but build in ways of considering marginalized individuals
- To recap: Review FIAP and pay particular attention to language in the policy relating to human rights; preliminary analysis should be scoped to scale of your project; show you have a strong

understanding of national, regional, local and sectoral human rights situations and core human rights issues
- Show how your project is advancing human rights in your Theory of Change and logic model

· **Anushka Shibchurn: Environment Advisor**
- Read FIAP because environment and climate action is one of the areas covered in the policy
- Overall at the design stage of the proposal, GAC expects to see that your organization shows understanding of environmental sustainability principles (e.g. pollution abatement, conservation of nature, sustainability of resources)
- You should show an understanding of GAC's overarching obligations and commitments internationally including but not limited to under the Paris Agreement, SDGs and Canadian Environmental Assessment Act
- Include a description of the context in which you're implementing the project (e.g. risks of disturbing ecosystems; risks of natural disasters) – look at links between project and environment
- Explain the effects of the project on the environment; doesn't have to be fully analysed, but show some positive and negative effects, not just all negative
- Include information on what are some the enhancement and mitigation measures; again doesn't have to be fully analyzed, but should be thought out and identified
- Include information on what are some environmental laws, measures, and standards that should be respected; this should be thought through in project design
- You must show that it is the best option of other viable options that were considered; don't have to speak to all the other options, but show that it is the best
- Again this relates to the Theory of Change and how you bring all that in with all the other analyses

Q&A

1. How long are applicants expected to wait for a response when submit a preliminary proposal?
- Don't have a service delivery standard yet
- Should be measured in weeks, not months and years though

2. Is it possible to have more outcomes than the space allotted on the form?
- Form limits intermediate outcomes to 3 (behaviour, belief, effectiveness)
- You'll find this in the how-to guide (see page 21 of guide which shows a nice graphic of what is expected)

3. Where does Haiti rank in the priority list?
- There is no priority country list anymore

4. Is there a higher level consideration if we're partnering with someone else?
- Most projects are undertaken with multiple organizations partnering in some sense; what makes a difference for us (GAC) is if there are multiple signatories to the financial instrument

- If so, will accept the experience examples from the multiple organizations
- This does have an impact on the cost share requirements and the overhead
- If you're a partner in an arrangement without multiple signatories then GAC looks at it in the assessment in the project management; but it doesn't have an impact on cost share or overhead

5. What section of the website can we find info on the logic model and theory of change?
- On the funding guidance page, there is a link for all the different areas discussed today, including Results-based management including guide and tip sheet

6. Do we have to discuss all 6 risks or can we choose a few?
- Proposal must align with at least one of the 6 action areas in the FIAP

7. Is there a strong difference in how GAC understands gender equity versus gender equality?
- There is a guide and definitions which can be found in the guide on the website

8. Are pre-proposal (preliminary proposal) forms available to all citizens or only organizations that are partners of GAC?
- Right now only one call is available
- There are no forms that you're picking up through the Partners @ international portal right now, but ask that they're uploaded through that portal
- All documents required are attached to the call page, so they're open to anyone to view

9. Question about timelines
- GAC is working on the timelines; no service standards delivery right now
- Have to screen and assess preliminary proposals and see which are eligible
- Then have to look at strengths of eligible proposals
- The time it takes depends on number of preliminary proposals submitted
- Can't say when first responses or invitations to submit
- Will be given a couple months to submit a complete proposal
- Then have to do full assessment
- Will still take some months to get through all those steps

10. Is it important to include environmental assessment if project is not addressing environmental issues / applications?
- At this point, no has to only be included for environmental projects

11. Is there any change to unsolicited proposal requests?
- No, not right now

12. Where a project has absolutely no environmental applications, is it necessary to do environmental assessment?
- GAC is cautious to say there are absolutely no environmental applications

13. What are the specific matching obligations?
- We are going to give preference to proposals that propose a cost share, even with unsolicited
- Cost share is part of your organization showing their commitment to that project

14. Expectation that must do three analyses and takes time and resources, and short time to submit proposals; can these be written as in-kind contributions?
- Are not direct eligible costs, and cost share must be applied on a direct eligible cost, so no, sorry
- Need to see analyses built into foundation of your project

15. For better planning, when do you expect implementation to start?
   Will be several months

16. Question about environmental sustainability principles…
- Proposal must demonstrate understanding of environmental sustainability principles including most risky to environment, and least risky to environment

17. Should governance principles be addressed in preliminary proposals as before?
- Outlined some key human rights principles that should be addressed; are very similar to governance principles that were required before

18. The indicators adopted by the UN General Assembly for SDGs earlier this year are quite high level. Does GAC have any intermediate indicators it favours for measuring impact?
- Don't want to recommend indicators from our perspective
- Is a good idea to align to SDG indicators as best you can ; can't use SDG indicators directly though because are at a higher level

19. Does GAC have a set of M&E indicators?
- Is going to be info on specific indicators that will be coming out; but not right now

20. Can projects which are not approved and the preliminary submission phase expect any kind of feedback to enable some learning for possible future submissions?
- Will not be giving feedback on preliminary proposals

21. Can Public Engagement (PE) be included in preliminary proposals and what is the percentage allowed?
- Yes, but don't know what the percentage is

22. Countries of focus?
- No longer have a list of countries of focus
- Are a list of countries eligible for ODA; look at the website for that list
- If a country is not approved for ODA, then GAC can't fund projects for that country

23. Will there be repetition of sections between preliminary and full proposal?
- More consultation and analysis required for full proposal, so may be some adjustment needed by organization in full proposal

24. Do you have to include all 6 risks?
- Is part of the unsolicited proposals requirements now
- The preliminary proposals requires preliminary theory of change, or other kinds of risks for development projects so please highlight those

25. What are the 3 areas for FIAP again?
- Enhance protection and promotion of the rights of women and girls
- Improve decision making of women and girls
- More equitable access to and control of resources needed for economic and social

26. Can one organization submit more than one preliminary proposal?
- Yes, but please check the individual calls for specific details
- Some calls may say that there's only one per organization allowed

27. What is required for the budget portion of the preliminary proposal?
- Will be questions of cost share; are only asking for budget details if invited to submit full proposal

28. How many preliminary calls per year will there be?
- No idea

29. How many preliminary proposals will be shortlisted per call?
- The number of invitation letters would be those that have been approved for that call
- The number is never something that could be said in advance because depends on the proposal received, how much people are looking for; depends on the proposals themselves

30. Would an applicant be notified if not invited to submit full proposal?
- Absolutely

31. Will there be a different form for those invited to submit a full proposal?
- Is a different form; should be on the website in January, so that you can see it even if not invited to submit full proposal
- Has been updated to be more in-line with FIAP etc.

32. Should we expect this preliminary proposal process for all future calls?
- You should expect it to apply to all future calls, until we see that there's some new radical way to do this process

33. How much budget details do you need to see in the preliminary proposal?
- We don't need to see any budget details, but you will have to have done some preliminary budget to fit within the envelope for which you are applying because it can't be radically different

34. Question on evaluations…
- GAC is looking for external evaluations, not program evaluations
- Looking for assessments of your organizational capacity

35. For SMO call, noticed there's only one example of…is this standard or call specific?
- Its call specific. The standard is two

36. Budget review / approval…?
- The bigger the budget, the higher the authority

37. Question about budget and M&E aspects…?
- Explain in the preliminary proposal the resources needed to measure certain things if required
- Is a space in the full proposal to show your monitoring budget

38. Should the budget include overhead and is this still 12% from GAC?
- Are not asking for any budget details in preliminary proposal
- If invited to submit full proposal, then must show budget details including cost sharing
- If you are a Canadian org then overhead is still at 12%

39. Does a gender analysis have to be separate from a human right analysis?
- Gender equality analysis is part and parcel of a human rights analysis, so don't have to necessarily do it separately but can highlight where elements overlap