



GZ: RL/6-OE/2017

Framework Programmes

Co-financing of Austrian Civil Society
Organisations (CSOs)

Funding Guideline



AUSTRIAN
DEVELOPMENT
AGENCY

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Please note that the present document is not an official translation. In case of any discrepancies the German version shall prevail.

1. Background and Aims

Within the framework of the bilateral programme and project support of the Austrian Development Cooperation (ADC), projects are promoted which sustainably improve the living conditions and development perspectives of the population in developing countries and contribute to poverty reduction. The principles and objectives of international targets such as the Agenda 2030 (Sustainable Development Goals, Addis Ababa Action Agenda and the Busan Partnership for Effective Development Co-operation) are taken into account and all ADA projects shall contribute to their achievement.

The funding instrument for NGO Framework Programmes applies to Austrian organisations that together with local partner organisations carry out **self-contained multi-year programmes in developing countries in the South and/or the East** (in accordance with the definition of the OECD Development Assistance Committee (DAC)).

2. Legal bases and other bases

- Development Cooperation Act, BGBl. I No. 49/2002 in the current version (DCA)
- Additionally the Regulation of the Ministry of Finance regarding General Guidelines for the granting of subsidies from federal funds 2014 in the current version (ARR) applies.¹
- Three-Year Programme on Austrian Development Policy in the current version
- General Terms and Conditions of the Austrian Development Agency (ADA) for Development Cooperation Funding in the current version (AVB)
- Environmental and Social Impact Management Manual in the current version (Download: <http://www.entwicklung.at/en/publications/manuals/>)
- Guidelines for the Visibility of the Austrian Development Cooperation in the current version

3. Eligible applicants

Eligible applicants are **development organisations** in accordance with § 3 (2) of the Development Cooperation Act **with their registered office in Austria** that have existed for at least three years and that meet the formal criteria for Framework Programmes (see Annex A.1.).

4. Principles of a Framework Programme

A Framework Programme consists of coherent and interactive **programme interventions with a common strategic and development objective**. The duration of a Framework Programme must be **3 years**. The Programme objective must be clearly defined, and quantitatively and qualitatively measurable.

The Framework Programme objective is implemented in practice through consistent programme interventions in one or more countries.

A Framework Programme must be coordinated with national and local development plans and other relevant local and international actors and must assist the partners in continuing their own development process.

¹ Regarding contradictions of the two legal bases the Development Cooperation Act prevails.

The **added value** of a Framework Programme must be clearly identified and coordinated with local partner organisations.

The **Framework Programme approach is defined by the following criteria:**

- Substantial contribution to the Sustainable Development Goals (SDGs)
- contribution to the implementation of national/regional development programmes
- Coherence with the respective ADC country, sector, or regional programmes
- Synergies between individual interventions
- Experience exchange and Know-how transfer between the applicant organisation and local partner organisations of the respective Framework Programme, networking with relevant development policy actors
- Systematic knowledge management
- Capacity Development
- Policy Dialogue and Advocacy on local and regional levels
- Innovative approaches and methods
- Support of development policy dialogue in partner countries and in Austria

A Framework Programme can also contain pilot projects and programme interventions for the consolidation of previous Framework Programme interventions.

5. Examples for Programme interventions

Programme level interventions:

Interventions with synergetic effects

- Use of synergies with projects in the same area of intervention (complementary and/or common activities)
- Coordination and/or common activities with other donors or partner organisations (e.g. trainings)
- Networking with local organisations, local authorities (new methods, regions)

Context and structure forming interventions

- Observation of relevant regional/national framework conditions (depending on relevant level of impact)
- Reflection of coherence with other policies throughout programme duration
- Policy dialogue with relevant actors
- Joint presence with other donors or partner organisations

Knowledge management and know-how-transfer

- Know-how-transfer to other projects within the organisation, piloting of new instruments (e.g. staff exchange)
- Exchange between programme partners (especially South-South)
- Systematic exchange with other Austrian/European/international organisations
- Systematic learning and analysis of experiences in collaboration with local partners (e.g. achievement and assessment of impacts)
- Documentation of experiences and knowledge in appropriate formats (e.g. manuals)
- Continuous application/dissemination of successful methods

Advocacy and policy dialogue

- Structured dialogue with local, regional and national decision-makers
- Influencing of local, regional and national decision-makers aiming for sustainable changes
- Integration within national development plans and programmes
- Support of development policy dialogue in Austria

Pilot Projects (shorter duration possible):

Piloting of new systems, methods, approaches or topics in order to gain an understanding of the functionality of an innovative intervention. (The successful implementation of a Pilot Project does not guarantee funding for subsequent interventions by ADC)

Consolidation Phases (shorter duration possible):

Ensuring the sustainability of a previous programme intervention

6. Funding criteria

6.1 Thematic and structural criteria

Funding is available for Framework Programmes which contribute to a long-term improvement in the living conditions and development perspectives of the people in developing countries in accordance with the SDGs and the Three-Year Programme of Austrian Development Cooperation, with priority focus on:

- poverty eradication
- human rights
- gender equality
- preservation and sustainable use of natural resources
- strengthening of disadvantaged social groups (such as people with disabilities, children, elderly persons)
- conflict prevention and peace-building
- good governance and democratisation
- strengthening of local institutions or civil society with regards to an active participation in the improvement of living conditions

Programmes should correspond to country and regional programmes and thematic focuses of ADC.

The Framework Programmes include aspects relating to the visibility of the ADC and the raising of public awareness of development issues.

In the event of an unexpected emergency situation in priority countries and key regions as defined by the ADC Three-Year Programme as most recently amended, available resources from the Framework Programmes can be reallocated to assist local partners in carrying out emergency measures and for reconstruction.

6.2 Budgetary criteria

Programme budget and ADC grants

The **minimum total Framework Programme amount** (grant, own and outside resources) is **EUR 900,000** for a programme duration of three years.

The actual amount of funding allocated to a Framework Programme is determined on the basis of the Framework Programme Funding Criteria (see Annex A.3.). ADC funding is granted exclusively in the form of non-repayable subsidies. The programme budget is to be listed in accordance with the standard ADA form (see www.entwicklung.at).

The **minimum total amount for a programme intervention** should be **EUR 200,000**, except for Pilot Projects, consolidation phases, or interventions for knowledge management.

The **indirect project costs (PBE)** should account for **max. 10% of the project costs**. These costs are based on the PBE arrangement as most recently amended. The total PBE for the Framework Programme is calculated from the sum of the indirect project costs for all programme interventions and may exceed EUR 160,000.

Funding rate, own funds, third-party funds

A Framework Programme can only receive funding if at least 70% of the funds are implemented in ADC priority countries or regions.

The maximum funding rate of 80% applies to Framework Programmes in defined priority countries² and for regional Framework Programmes in defined priority countries and neighbouring developing countries. In the latter case, the emphasis of the Programme must be on an ADC priority country. In this case, the contribution of the development organisation's own funds and third-party funds (see "Third-Party funds") must amount to at least 20% of the total project cost.

The funding rate of 75% applies to all other Framework Programmes. In this case, the contribution of the development organisation's own funds and third-party funds (see "Third-Party funds") must amount to at least 25% of the total project cost.

Own funds are monetary resources generated from the private sources of the development organisation in Austria. Non-monetary funds contributed by the development organisation will be acknowledged but do not count as own funds in the budget.

Third-party funds are monetary resources made available to the development organisation by other public-sector organisations and regional bodies from Austria or other countries to implement the Framework Programme. Third-party funds may not exceed 5% of the total costs.

Budget revision and prolongation of project duration

Budget reallocations between programme interventions are subject to approval. Changes within a programme intervention need to be applied for only if the sum exceeds EUR 10,000.

Budget reallocations and changes in the project duration are subject to the ADA regulations for revision (see www.entwicklung.at).

In case of under-utilisation of the Framework Programme budget, a prolongation of project duration may be possible under certain conditions, subject to approval by ADA. An overlap with the commencement of a subsequent contract may be granted under certain conditions.

6.3. Submission deadlines and timetable

The development organisation must submit **via Email a notification of interest** in the funding of a Framework Programme to the ADA by **28 February** for the following three years (Zivilgesellschaft-international@ada.gv.at). The submission must contain documents on fulfilment of the formal eligibility criteria by the submitting development organisation. ADA will then study the notification of interest.

In the event of a positive assessment, the **first planning meeting** of the development organisation and ADA will be held by **31 May** of the year in question to discuss the thematic objectives and basic orientation and scope of the Framework Programme.

² <http://www.entwicklung.at/en/funding/funding-civil-society/ngo-cooperation-international/>

The development organisation must submit a **detailed funding application by 30 September** of the year in question to the ADA. For Framework Programmes with prospective funding of **over EUR 3 million**, the submission deadline is **15 September**. If the funding application is approved, ADA will draw up a funding agreement.

The standard form for the notification of interest can be downloaded from the ADA-Website (www.entwicklung.at).

6.4 Formal criteria

The **funding application consists of:**

- programme document (programme description including environmental impact and gender equality assessment, timetable)
- logical framework
- total budget and budgets of individual interventions
- description of programme interventions³ including logical frameworks, timetable (see www.entwicklung.at)

Depending on the type of project, the environmental impact assessment can be in the form of a study or a completed questionnaire using the ADA standard form (see Annex A.2.).

The application for funding must be submitted via Email, including authorised signatures, to the ADA. The documents may be submitted in German, English, or French. The approval of the ADA is required in advance for submissions in other languages. A brief and explicit description of the problem, objectives, target groups and activities in the Framework Programme is to be submitted in German (even for submissions in other languages) with the application.

7. Monitoring, progress controls, and evaluations

The development organisation is to **monitor** the project continuously by means of annual progress controls in cooperation with the local partner organisations to verify the achievement of the objectives. The results are to be reported to the ADA. The costs are covered by the indirect project costs (PBE).

Reports on the **progress of the Framework Programme** are to be made annually in German, English, or French using the standard format. The prior agreement of the ADA is required for other formats or languages.

An annual meeting is held between the development organisation and the ADA. If the Framework Programme or a programme intervention is being implemented in an ADC priority country, the development organisation also maintains regular contact with the respective ADA cooperation office.

In coordination with the development organisation, ADA may implement “field visits” for monitoring purposes.

Evaluations or reviews of the programme interventions are carried out systematically based on the ADC guidelines and evaluation standards (see www.entwicklung.at). Evaluations or reviews are to be provided for in the budget planning. Before an evaluation

³ After consultation with the ADA, it is possible to present the entire programme in one document by integrating information on the programme interventions in the “programme document”.

is commissioned, the agreement of the ADA on the terms of reference for the selection of an evaluator is to be obtained.

For individual programme interventions which have been completed for two or more years, an ex-post evaluation may be carried out following ADA-approval. This enables the monitoring of medium- and long-term impacts of a programme intervention. Upon agreement with the development organisation, ADA will be entitled to carry out progress analyses and evaluations of individual programme interventions. For each Framework Programme, a **review** must be carried out **at programme level**. Since review results should influence any potential successor programme, the review's timing should be planned accordingly. Before a review is commissioned, the agreement of the ADA on the terms of reference for the selection of an evaluator is to be obtained.

8. Legal recourse

The decision to grant funding is made by the ADA exclusively on the basis of these Funding Guidelines and the available budget resources. There is no legal entitlement to grants.

9. Final provisions

Entry into force: 01 July 2005

Amended: 31.07.2017 with GZ: RL/6-OE/2017

The ADA unit Civil Society International (ZGI) is responsible for further development of the Guideline.

Dr. Martin Ledolter, LL.M.
Managing Director

Annex

A.1. Formal eligibility criteria

Statutes of the organisation

- Registered office in Austria
- Development cooperation defined as the organisation's aim
- Existence of the organisation for at least three years

Applicants are requested to include a description of the ownership structure along with the statutes and extract from the register of associations.

Content and programme

- Objectives and programme orientation compatible with ADC (Three-Year Programme of Austrian Development Cooperation)
- Based on programme orientation/strategies in partner country (presentation of country programmes/strategy papers)
- Suitable programme staff in Austria and partner country
- Appropriate programme scope: the Framework Programme should account for no more than 40% of the programme activities of the development organisation (excluding educational projects in Austria, emergency assistance and disaster relief programmes)

Implementation and quality management capacities

- References relating to successful project cooperation with ADC
- Demonstrated experience in projects/programmes of this scope
- Efficient implementation of previous Framework Programmes
- Integrity of development organisation (e.g. "Spendengütesiegel" or satisfactory inspection reports)

Integration in partner country

- Local partner orientation and network and dialogue with partner
- Good local profile by partner organisation or own structures
- Advocacy capacities

Integration in civil society in Austria and the EU

- Integration in civil society
- Advocacy
- Visibility of development communication and awareness-raising capacities
- Networking in Austria and the EU for exchange of experiences

A.2. Environmental impact assessment

Programme interventions that could impact directly or indirectly on the environment or natural resources and their utilisation need to be subject to a careful environmental impact assessment at the planning stage. The environmental impact assessment is the responsibility of the development organisation and is carried out in two stages:

Stage 1

Classification of programme intervention by project types using the environmental impact assessment procedure (see www.entwicklung.at) by the development organisation.

Stage 2

If the programme intervention is classified as a project type requiring a comprehensive environmental impact assessment, the development organisation must present ADA with an appropriate environmental impact survey. For other environment-relevant programme interventions submission on the standard ADA form is sufficient. ADA will study the documentation as part of its examination of the Framework Programme application.

A.3. Criteria for determining the level of grant

The following criteria are used to determine the level of grant for the Framework Programme on the basis of information provided to ADA by the development organisation.

- Organisation's capacity for qualitative programme implementation: number of project accountants/programme assistants in relation to Framework Programme volume; existence of local structures
- Quality of logical frameworks
- Availability of private donations for development cooperation activities/year, i.e. capacity for raising own funds
- Average Framework Programme budget for the last three years (not applicable to first-time applicants)
- Total project volume in development cooperation per year