

# EU—WOP PROGRAMME



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FOR A BETTER URBAN FUTURE



## Call for Proposals Package



Funded by the  
European Union

# EU—WOP PROGRAMME

A Water Operators' Partnerships Programme  
run by **GWOPA** and funded by the **EU**

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Call for Proposals Package

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This document is available in English, French and Spanish.  
[\*\*gwopa.org/eu-wops\*\*](http://gwopa.org/eu-wops)

## Application Timeline\*

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- 1** Date of publication of Call for Proposals:  
**15 January 2021**
- 2** Deadline for submission of Phase I Applications:  
**15 April 2021**
- 3** Announcement of Phase I Applicant Selection:  
**30 April 2021**
- 4** Deadline for submission of Phase II Applications:  
**30 June 2021**
- 5** Announcement of Final WOP Selection:  
**15 July 2021**

\* If any adjustment is needed to the application timeline presented here, it will be announced at [gwopa.org/eu-wops](https://gwopa.org/eu-wops)

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# Definitions Applicable within these Guidelines

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<b>Water Operators' Partnership</b>	A WOP is a partnership between two or more peer water and/or sanitation operators, carried out in the objective of strengthening their capacity to sustainably provide quality services to all.
<b>EU-WOP Project</b>	A WOP funded under the EU-WOP programme.
<b>EU-WOP Project Partners</b>	The consortium of WOP Partners, associated through a WOP Agreement, implementing a given EU-WOP Project. EU-WOP Partners are Lead Partners, Beneficiary Partners and any associated Additional Partners.
<b>Agreement of Cooperation</b>	The agreement between UN-Habitat and Lead Partner Organizations through which EU-WOP grants are administered to the various EU-WOP projects.
<b>EU-WOP Project Agreement</b>	The agreement document (a Memorandum of Understanding (MoU) or similar format) laying out the roles and contributions of the various EU-WOP Project Partners to the WOP project.
<b>Lead Partner</b>	The main implementing partner or "mentor" operator within the partnership. The Lead Partner is responsible for submitting the application and, if selected, entering into an Agreement of Cooperation with UN-Habitat to receive the funding and manage the grant. For Lead Partner Eligibility, <a href="#">see here</a> .
<b>Beneficiary Partner</b>	An operator that is the target of the WOP support, otherwise known as a "mentee". Beneficiary Partners are active participants in the WOP, working with other partners to accomplish WOP objectives. For Beneficiary Partner Eligibility, <a href="#">see here</a> .
<b>Additional Partner</b>	An organization that contributes actively and on a not-for-profit basis to the WOP project objectives, as co-mentors, financiers, facilitators, or in other supporting roles, associated to the WOP project through the WOP agreement. For Additional Partner Eligibility, <a href="#">see here</a> .
<b>(Water and Sanitation) Operator</b>	Generic term referring to a water and sanitation service provider or utility participating as peer partners in the EU-WOP. Lead and Beneficiary Partners are 'operators', as are Additional Partners serving as co-mentors.
<b>Mentor</b>	A mentor is an operator that is playing a primarily supporting role in the WOP. In the EU-WOP programme, mentor roles are served by Lead Partners and may also be served by Additional Partners.
<b>Mentee</b>	A mentee is an operator whose capacity and performance are being enhanced by the WOP. In the EU-WOP programme, Beneficiary Partners are the mentees.



# EU-WOP Programme Guidelines

# EU-WOP Programme Guidelines

## Introduction

The EU WOP Programme is a four-year initiative, led by UN-Habitat's Global Water Operators' Partnerships Alliance (GWOPA) and funded by the European Commission DEVCO. Through the programme, a total of 8.3M USD is available for between 20 and 30 Water Operators' Partnerships projects of 36 months' duration.

UN-Habitat is calling on eligible water and sanitation operators to collaborate with partners to present Water Operators Partnerships (WOPs) Project Proposals for funding under the programme. The present document gives background on the EU WOP programme and instructions on how to apply to this Call for Proposals

## EU-WOP Programme

### Context

The world is facing a huge water and sanitation challenge. Currently, 2.1 billion people still cannot count on contamination-free water, and 4.5 billion lack sanitation systems that protect them from disease.<sup>1</sup> Water quality is declining, and freshwater ecosystems are being degraded, threatening the continued availability of water for basic services. The COVID-19 crisis is exposing, and exacerbating, service provision disparities.

Many of the water and sanitation service providers that are counted upon to provide basic services in communities around the world struggle with technical, financial and managerial challenges. Under-performing utilities regularly feature unsafe water, frequent cuts, and very limited coverage within their service area. High water losses, poorly designed tariffs and weak billing and collection systems contribute to financial problems that worsen infrastructure and services and further exclude those without access. Sanitation services and wastewater treatment are generally inadequate or inexistent.

Operators are at the front lines of delivery on the Human Right to Water and Sanitation, yet few operators have services that fully respond or are adapted to the needs of the most poor and marginalized, including women, older persons, children and youth, and people living with disabilities, and few prioritize service delivery to low-income communities or critical public infrastructure such as schools and hospitals.

In many locations, the external pressures upon utilities are mounting as well, as rapid, unplanned and inequitable urbanization, diminishing freshwater resources and deregulated hydrological regimes exacerbated by climate change, compound existing weaknesses in water and sanitation service provision. Many utilities need to improve not only their current performance but also bolster their resilience to future risks. The World Bank estimated in 2015 that a tripling of funds to US\$ 114 Billion per year will be needed just to meet the water and sanitation access targets of SDG 6.<sup>2</sup> However, for utilities to access and sustainably manage the needed investments for water and sanitation infrastructure, more robust capacity and performance is needed.

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<sup>1,2</sup> WHO. (2017). Joint Monitoring Programme (JMP). Progress on drinking water, sanitation and hygiene: 2017 update and Sustainable Development Goal baselines.

## About Water Operators' Partnerships

Water Operators' Partnerships (WOPs) are an opportunity to address these challenges. WOPs are peer support exchanges between two or more water operators, carried out on a not-for-profit basis with the objective of strengthening operators' capacity and performance to provide a better service to more people. The UN Secretary General's Advisory Board for Water and Sanitation first called on development actors to support these partnerships in 2006 and requested UN-Habitat to create GWOPA to lead their scale-up. Over 350 of these decentralized partnerships between water and sanitation service providers have since been documented, with more than 50% of them being South-South partnerships.

WOPs have a proven track record of helping utilities improve their effectiveness and efficiency to deliver more sustainable and inclusive services. WOPs draw on the motivations and capacities of effective water and sanitation service providers to help their peers realize sustainable improvements. Strong operators have shown themselves to be effective mentors to peers that are striving to improve their financial, technical and managerial performance in order to better serve all.

WOPs make their impact by helping utilities acquire and apply knowledge, establish new practices and implement improved approaches. Partner utilities engage in training to build the skills and knowledge of Beneficiary staff. The resulting capacity and performance improvements can contribute to SDG 6 targets and facilitate utilities' access to financing for infrastructural investments, supporting further extensions or improvements in services.

WOPs emphasize the strengthening of local workers and their jobs to realize sustainable improvements. Rather than substituting capacity, they focus on helping local utility staff to make lasting improvements that can continue beyond the life of the partnership. Building on peers' shared understanding of professional demands and challenges, partners conduct joint diagnosis to deepen understanding of challenges and solutions. Dedicated capacity development activities (classroom-based, on-the-job, distance-based learning, exchange visits and other activities) introduce needed knowledge and skills. Jointly developed action plans, tools and systems support change that, once rooted, are reflected in improved utility performance in operational, financial, social and environmental areas. Where WOPs help operators to improve their cost-recovery and their creditworthiness, they can also help facilitate access to finance for service improvements or extensions.

The present COVID-19 pandemic is also a reminder of how essential resilient local water and sanitation service providers are to maintaining health and stability, especially in poor communities. Water Operators' Partnerships can help strengthen the resident capacity of local utilities to abate such crises and protect communities when they arise.

The EU WOP programme is an opportunity to build on European commitment to the 2030 Agenda for Sustainable Development, at the heart of its 2017 European Consensus for Development. It also reflects EU commitments to the Paris Agreement Under the United Nations Framework Convention on Climate Change, the New Urban Agenda, the Sendai Framework for Disaster Reduction 2015 -2030 and Human Rights commitments, including the European Citizens' Initiative declaration of 2013. The new priorities of the European Commission, in particular the EU Green Deal and responses to the current COVID-19 Pandemic, provide further impetus for the EU-WOP Programme.

## Programme Objectives

The overall objective of the EU-WOP Programme is to contribute to Sustainable Development Goal 6: Improved availability and sustainable management of water and sanitation for all.

The EU-WOP Programme will fund a suite of Water Operators' Partnerships aiming at the following specific objectives:

1 _____	2 _____	3 _____	4 _____
Increased access to improved drinking water source and/or sanitation within Beneficiary Partner service areas.	Improved operational, financial, social, environmental and cross-cutting capacity and performance of the water and sanitation Beneficiary operators.	Additional finance for water and sanitation operational or infrastructure improvements	Strengthened capacity and commitment among partner organizations to engage in Water Operators' Partnerships beyond the scope of this programme.

The present Call for Proposals aims to identify potential EU-WOP projects for funding that will contribute to the programme objectives and expected results.

The EU-WOP Programme design builds extensively on past WOP programmes studied or managed by GWOPA, the evaluation of the 2010 European-funded EU-ACP partnership programme and draws from consultation with senior staff within UN-Habitat and a wide range of external stakeholders.

<sup>3</sup> The EU WOP Programme objectives contribute to various Sustainable Development goals, including SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable, and 17: Strengthen the means of implementation and revitalize the global partnership for sustainable development.

<sup>4</sup> WOP projects are encouraged to contribute to the various targets of SDG6, including those relating to sanitation, wastewater, water quality, water use efficiency, integrated water resources management and water-related ecosystems. For more information see: [www.sdgs.un.org/goals/goal6](http://www.sdgs.un.org/goals/goal6).

<sup>5</sup> Climate change, human rights, gender, age and disability considerations.

<sup>6</sup> Projects that actively connect, leverage or add value to investment projects will be evaluated favourably.

<sup>7</sup> Project proposals that aim to actively strengthen (new and existing) partners' capacity and commitments to engage in further WOPs will be evaluated favourably. Co-mentoring is one way to achieve this: the EU-ACP partnership programme identified that the learning curve for mentors can be softened through training and peer support between mentors.

<sup>8</sup> See 2017 report on how to improve upon the 2010 European-funded EU-ACP partnership programme, available here: [www.europa.eu/capacity4dev/public-water\\_and\\_sanitation/documents/final-report-strengthening-water-partnerships](http://www.europa.eu/capacity4dev/public-water_and_sanitation/documents/final-report-strengthening-water-partnerships).

# EU-WOP Programme Overview

UN-Habitat will identify potential EU-WOP Projects for funding through a two-stage application process: Phase I Application followed by Phase II Application.

Following the launch of the Call for Proposals, applicants will have three (3) months to submit the Phase I Application. A Selection Committee will evaluate the Phase I Applications received based on the predefined evaluation criteria and following the established selection process. Only top-ranked projects from Phase I will proceed to Phase II.

In Phase II, top-ranked Phase I applicants will then be requested to prepare the Phase II Application, including supplementary project and budget information, a logical framework, as well as supporting documents to demonstrate commitment, capacity and eligibility. Applicants will be given two months from the notification of Phase I selection until the submission of the Phase II Application.

In Phase II, the Selection Committee will evaluate the Phase II Applications based on the predefined evaluation criteria and following the established selection process. In addition, as part of the Phase II evaluation process, proposed projects and partners will be vetted to ensure that they comply with the eligibility criteria and UN rules and regulations. Following the Phase II evaluation and eligibility confirmation, the top-ranked proposals will be selected for funding.

The Lead Partners of the selected projects will then be informed of their successful proposal and enter into two types of agreement<sup>9</sup>:

## 1 Agreements of Cooperation

Lead Partners of successful EU-WOP projects will enter into Agreements of Cooperation (AoCs) with UN-Habitat through which the Lead Partner will receive the funds to manage the project. This agreement inter alia defines the roles, financial and reporting obligations of the Lead Partner, as the accountable organization in the WOP. The AoC is implemented applying the Lead Partner's approved financial mechanisms, in line with UN rules and regulations.

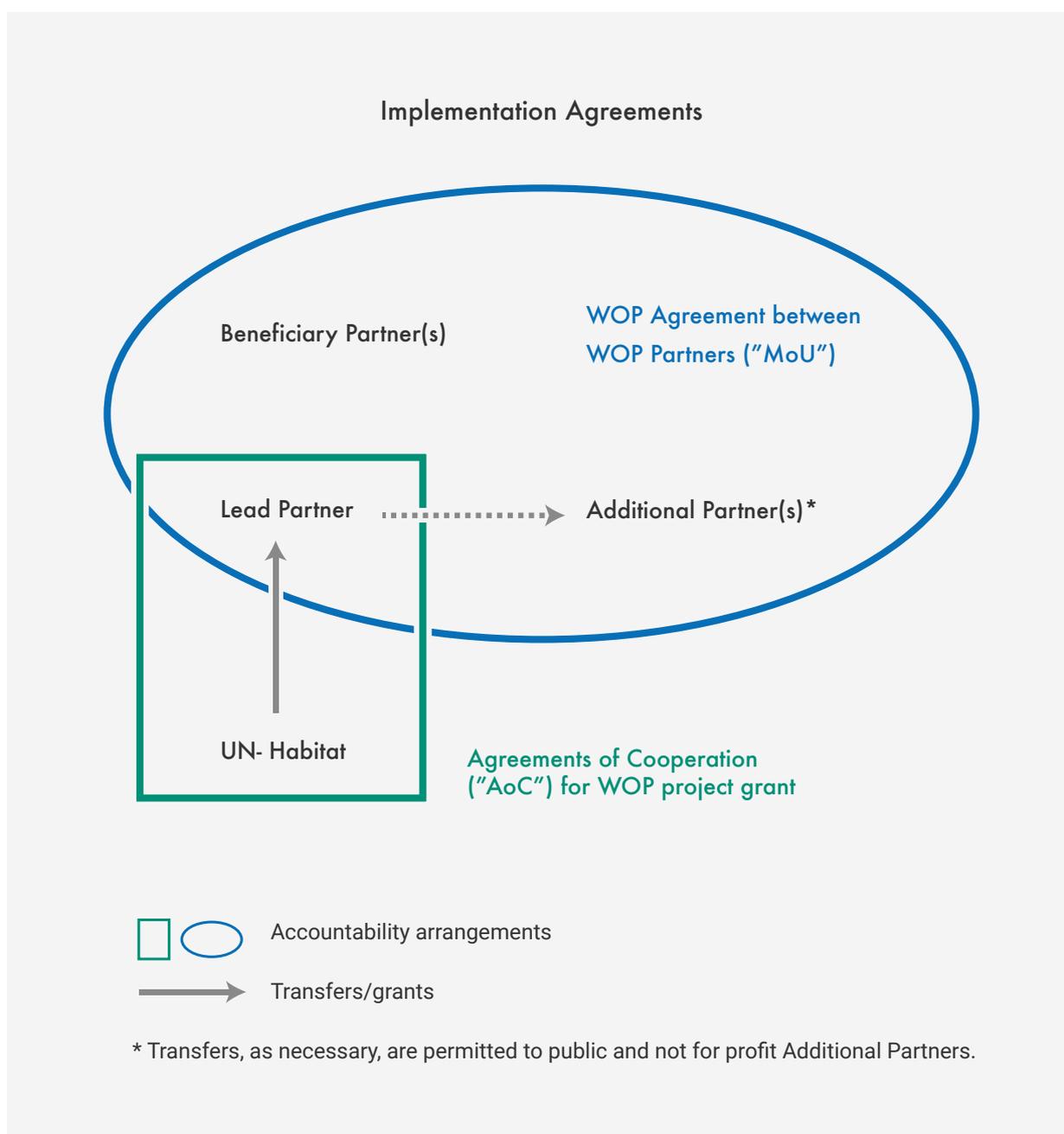
## 2 EU-WOP Project Agreements

Lead Partners, Beneficiary Partners and any Additional Partners within each EU-WOP project will enter into, or extend, a single WOP agreement (a Memorandum of Understanding or similar) laying out their respective roles and responsibilities under the project, and commitments to implement following the GWOPA Code-of-Conduct. This is normally a non-financial agreement.

In addition to the above agreements, Lead Partners may need to enter into subsequent financial agreements with Additional Partners<sup>10</sup>, depending on their budget and financial arrangements. The Lead Partners will undertake any subsequent financial agreements applying their own financial rules and mechanisms as vetted by UN-Habitat through the selection process. A diagram illustrating the agreement structure is presented below in **Figure 1**.

<sup>9</sup> Template Agreements of Cooperation (AoC) and Memoranda of Understanding (MoU) can be provided upon request.

<sup>10</sup> Only public and non-profit Additional Partners are eligible for transfers.



**Figure 1:** EU-WOP Project – Implementation Agreements.

WOP Lead Partners will be ultimately responsible for the overall implementation, monitoring and reporting and financial management on their individual EU-WOP project activities. Nevertheless, Beneficiary Partners, as well as Additional Partners as appropriate, are expected to be actively involved in the design, implementation and monitoring of their WOP. Roles and commitments shall be described in the WOP Agreement between EU-WOP partners to be put in place (or extended/amended in the case of ongoing partnerships) during the project inception.

EU-WOP Lead Partners will be required to submit bi-annual technical/substantive reports in English<sup>11</sup>, reflecting progress, challenges, interim results and emerging lessons. EU-WOP Projects will make use of GWOPA's Partnership Management Platform, a web-based platform developed to support WOP partners to centralize planning, monitoring, communication, visualization and easy reporting on their projects. The GWOPA Secretariat

<sup>11</sup> While applications may be submitted in Spanish and French, note that only English-language reports will be accepted once the WOP project begins. Cost-effective translation expenditures are eligible under this grant.

will train participants in the use of this platform, ensure technical support and maintenance. Reports will include progress on communications and knowledge exchange activities which are required as part of this programme.

During the three-year AoC, the Lead Partner will receive four payment instalments, the amounts of which correspond to the total amount of the grant. Lead Partners will receive a first, advance, payment instalment (30%) upon signing the AoC with UN-Habitat. Second (30%) and third (30%) instalments will be transferred to the Lead Partner upon receipt of satisfactory financial and narrative reports after 1 and 2 years of implementation, respectively. The final instalment (10%) will be granted only upon submission of final narrative and audited financial statements. Financial reports will follow the budget templates provided in the Phase I Application Form (**Annex A**). Detailed guidance on financial reporting will be provided to applicants proceeding to Phase II Applications.

During project implementation, the GWOPA Secretariat will remain available to project Lead Partners for consultation on administrative or technical aspects on their partnerships.

UN-Habitat will oversee a midterm review and final evaluation of the EU-WOP programme and knowledge management activities, which may involve visits to EU-WOP project partner organizations. EU-WOP project partners are required to participate in these evaluations, as required.

## Programme-wide Activities

In addition to the specific activities related to the Beneficiary Partners, EU WOP projects Partners are encouraged to participate in programme-wide communications and knowledge exchange activities.

Each funded EU-WOP Project must contribute to EU-WOP programme communications objectives. The GWOPA Secretariat will provide relevant guidance to successful WOP Projects to support EU-WOP Partners to inform about their WOP activities and results.

All Partner organizations with projects under the EU WOP programme will also have the opportunity to interact through an EU-WOP Programme-wide knowledge management initiative. This initiative, to which Lead and Beneficiary Partners will be expected to participate, will involve exchange, learning, advocacy and documentation of experience gained through the WOP projects. More information on this cross-cutting programme, its opportunities and requirements, will be communicated to Applicants that have successfully passed to Phase II of the EU-WOP application process.

## Eligibility of Projects and Activities

### Eligible Projects

To be eligible for funding under this call, proposed projects must:

- a. Be Water Operators' Partnerships (WOPs, or Sanitation-focused WOPs, SWOPs) meaning they are: not-for-profit partnerships between two or more peer water and/or sanitation service providers aiming to strengthen the beneficiary service provider's capacity and performance.
- b. Involve a mentor ("Lead Partner") and at least one designated mentee ("Beneficiary Partner"). "Additional Partners" may also participate in the WOP in a supporting role (including as 'co-mentors' if they are operators).
- c. Be compliant with GWOPA 's Code-of-Conduct (see **Annex C**). Lead Partners and Additional Partners also commit to not enter into commercial contracts with the WOP Beneficiary Partner(s) for at least four (4) years after the end of the WOP.

- d. Require between 250,000 and 450,000 USD in grant funding (in addition to cash or in-kind counterpart contributions).
- e. Have a fundable duration of 36 months<sup>12</sup>
- f. Fall under one of the two call windows:
  - I. **WINDOW 1** will fund new WOPs in which the Lead Partner and the Beneficiary Partner(s) have no previous partnership history or up to, but not exceeding, one year of partnership history. Projects under this window are expected to generate capacity and initial performance improvements for the mentee utilities. (Total indicative funding for Window: approximately 4.75 Million USD).
  - II. **WINDOW 2** will fund recent or ongoing WOPs that build on at least one year of recent partnership history.<sup>13</sup> Such partnership history must have occurred in the last three years. They aim to build on ongoing capacity and performance improvements and, where appropriate, help accompany or bridge towards investments for the mentee utility. (Total indicative funding for Window: approximately 3.5 Million USD).

## Eligible Activities

WOP project activities must contribute to improving conditions for the Beneficiary Partner(s) following the **objectives** of the EU-WOP Programme. In addition, proposals must include appropriate communications<sup>14</sup>, and knowledge sharing<sup>15</sup> activities that contribute to the EU- WOP Programme objectives.

Activities should maintain the autonomy of the Beneficiary Partner(s) and not create dependence upon the mentor(s) or other Additional Partners. Activities should aim at strengthening capacity of the mentee(s) as the means by which to improve performance (for more detail see **Annex B: Evaluation Criteria**). Emphasis should be on peer exchange, learning and joint action.

Eligible activities under the WOP include, but are not limited to:

- Joint assessment (diagnostic studies, consultations, monitoring, benchmarking or other)
- Targeted knowledge transfer or co-creation (classroom-based or on-the-job training, distance learning methods, exchange visits, residencies, remote support or other)
- Action planning and implementation
- Development or improvement of tools, standard operating procedures, systems
- Dialogue with relevant government bodies, decision-makers, communities, financiers
- Joint resource mobilization and investment planning/business development
- WOP coordination (management, financial coordination, monitoring and reporting, project auditing)
- Communication about the WOP with local stakeholders
- Knowledge exchange with other WOP projects of the EU-WOP Programme

<sup>12</sup> Three years (36 months) is the fundable period for implementation of the proposed partnership under the EU-WOP programme. Extension of the partnerships beyond the 36-month period with new activities, with the support of additional funding sources, is strongly encouraged.

<sup>13</sup> Partnership history refers to any kind of cooperation between partners. Proof of agreement must be demonstrated through a cooperation agreement, memorandum of understanding, or partnership agreement. This proof need not be a legally binding document. Previous partnership history need not apply to all WOP partners but must include Lead Partner and at least one Beneficiary Partner.

<sup>14</sup> Every project funded under this programme must contribute to communications about WOPs results in their respective communities. It is recommended that Project Partners budget 5,000 - 10,000 USD for communication activities. More information and guidance on required activities will be provided in the Phase II application stage.

<sup>15</sup> Each funded WOP project under the EU-WOP Programme is to participate in a minimum of knowledge exchange activities with other WOP projects under the programme. More information on required activities will be provided in the second application stage.

# Eligibility of Partners

Lead Partners submit applications for the WOP project on behalf of (and with inputs from) its component WOP Partners. The component partners and the overall partnership arrangement will be considered within the WOP Evaluation. No party can apply on its own.

All EU-WOP projects must have one Lead Partner and at least one Beneficiary Partner. There may also be Additional Partners. Together, Lead, Beneficiary, and Additional Partners, if applicable, are considered the 'EU-WOP Partners' and jointly implement the EU-WOP Project.

All WOP EU-Partners must actively contribute towards WOP project objectives and participate on a not-for-profit basis.

The EU-WOP Programme encourages the involvement of new partners who can contribute meaningfully to the WOPs. For more information on partner types and arrangements, refer to the Evaluation Criteria (**Annex B**) and Frequency Asked Questions (FAQs), the latter of which is available and will be updated regularly on the **EU-WOP Programme Webpage**.

The table below provides an overview of the types of actors that can participate in an EU-WOP Project and in what role; whether or not they are eligible to be a WOP Partner; if they can receive funds through transfers/grants; what costs are eligible under the grant; and what level of staff time must be contributed in-kind. In addition to the table, the following sections provide greater detail regarding eligibility.

Party	Applicable Agreements	Counterpart contributions encouraged	Staff time Costs	Eligible costs on EU WOP programme
Lead Partner	Agreement of Cooperation with UN-Habitat  WOP Agreement with WOP Partners (MoU)	Yes	May be contributed in-kind or charged against grant as transfer	Staff time, Travel, logistics, operational costs
Beneficiary Partner	WOP Agreement with WOP Partners (MoU)	Yes	Must be contributed in kind	Travel, logistics, operational costs, WOP-related equipment
Additional Partners (Public)	WOP Agreement with WOP Partners (MoU)  Transfer agreement with Lead Partner if applicable	Yes	May be contributed in-kind or charged against grant as transfer	Staff time, travel, logistics, operational costs
Additional Partners (Private)	WOP Agreement with WOP Partners (MoU)	Yes	Must be contributed in kind	Travel, logistics, operational costs
Service provider/ Sub-contractor (not participating as WOP Partner)	Contract with Lead partner for specific services	No	Charged against grant under contractual services	As per contracting rules

## Lead Partners

Applications must be submitted by a designated Lead Partner who, if awarded a grant, will be responsible for WOP project management and fund administration and serve as the focal point with UN-Habitat. Lead Partners play a role of “mentor” in the WOP.

The Lead Partner will be responsible for managing all grant funding, including any necessary transfers to Additional Partners, procurement or outsourcing of services, as required. As part of the Phase II application process, Lead Partners will be required to demonstrate their fitness to manage the grant.

To be eligible, a Lead Partner must be a water/sanitation service provider that is either a government body or publicly-owned (at least majority ownership), registered and operating in a European or DCI-approved country.<sup>16</sup>

There can be only one Lead Partner per WOP. There is no limit to the number of applications an organization can make, however the Selection Committee will cap the number of WOP Projects awarded to any given Lead Partner at five (5).

The Lead Partner will engage in the partnership directly and not act as an intermediary. In the spirit of partnership, the Lead Partner is expected to design and implement their WOP in collaboration with all WOP Partners, ensuring priorities, capacities, and expectations of all partners are considered.

Lead Partner staff time costs may be compensated under the grant where necessary, however Lead Partners are encouraged to make counterpart contributions (cash and in-kind) to the WOP where possible and such contributions will be viewed favourably in the evaluation process (see **Annex B: Evaluation Criteria**). Where any partner to the WOP is unable to make counterpart contributions, an explanation as to why should be provided in the **Phase I Application Form (section 1.4: Partner Information)**.

## Beneficiary Partners

A Beneficiary Partner is an organization that is the target of the WOP support, acting as a “mentee.”

A Beneficiary Partner must be a water/sanitation service provider that is either a government body or publicly-owned and is registered and operating in a European or DCI-approved country.

All WOPs must have at least one and cannot have more than five (5) Beneficiary Partners. A given organization cannot be Beneficiary Partner in more than one WOP project unless there are clear, well-articulated links between them.

Beneficiary Partners are expected to fully engage in the design, implementation, and monitoring of the WOP. Beneficiary Partners must endorse the proposal and commit counterpart support to the WOP project. Strong Beneficiary backing of the proposal will be viewed positively in the assessment of applications.

Beneficiary staff time cannot be covered by the grant but can be counted as an in-kind contribution to the WOP. Operational, logistics and equipment costs related to Beneficiary Partner involvement are eligible.

## Additional Partners

Additional Partners are organizations that contribute actively to the WOP project objectives as co-mentors, financiers, facilitators, or in other supporting roles. Community operators which do not have a public status may also engage here.

<sup>16</sup> See **Annex D** for complete list of eligible DCI-approved countries and European Union Member States.

Organizations serving as Additional Partners must be registered in a member state of the European Union or a DCI-approved country.

A WOP may involve between zero and several Additional Partners. There should be no more than three (3) mentors per WOP Project (i.e., the Lead Partner can be accompanied by a maximum of two (2) Additional Partners participating in co-mentoring roles). The Selection Committee will cap the number of WOP Projects awarded to any given Additional Partner at five (5).

Additional Partners can be utility associations, relevant local governmental institutions (i.e. urban planning, waste, health or conservation authorities, as appropriate), financial institutions, knowledge and academic institutes, workers' unions, NGO or civil society organizations, community or private sector entities. Co-mentors are considered "Additional Partners."

Additional Partners are also expected to be involved in the design, implementation, and monitoring of the WOP.

Additional Partners contribute to the WOP on a not-for-profit basis. Additional Partners that are government bodies, publicly-owned, or not-for-profit, are eligible to receive funds (through transfers from the Lead Partner) on the grant to cover eligible costs (i.e. staff time). Additional Partners are nevertheless encouraged to make counterpart contributions to the WOP where possible; such contributions will be viewed favourably in the evaluation process (**see Annex B: Evaluation Criteria**).

Additional Partners of a private nature cannot recover staff their costs under the grant<sup>17</sup>, however their staff costs will be treated as counterpart contributions. Operational, logistics and equipment costs related to private sector additional partners' involvement are eligible.

## Eligibility of Expenditures under the Grant

The EU-WOP Programme grant will fund up to 100 percent of eligible project costs. Counterpart funding contributions from Project Partners, in cash or in-kind, are highly encouraged.

Costs must relate directly to the eligible activities.

### Eligible Costs

- Staff time of Lead Partners and Additional Partners<sup>18</sup> with non-profit/public status<sup>19</sup>
- Supplies, commodities, materials
- Equipment (such as small hardware/software that are required for WOP activities)
- Contractual Services (outsourced services<sup>20</sup> including audits, translation, etc.)

<sup>17</sup> Private sector parties providing limited services that cannot be provided by the WOP Project Partners may be outsourced under the project budget (see financial rules). These actors are not considered Partners in the WOP.

<sup>18</sup> Beneficiary Partner staff time cannot be covered by the EU-WOP grant, however, as active partners to the WOP, their staff time can be considered as a counterpart contribution to the EU-WOP project.

<sup>19</sup> Only overhead costs directly attributable to staff costs (e.g. office-related operating expenses of Lead Partner organization attributable to the staff participating in the WOP) are eligible for grant funding as part of staff time. Staff time must reflect standard staff compensation rates. Justification of staff time compensation may be requested.

<sup>20</sup> The majority of WOP activities are expected to be carried out by peers on a not-for-profit basis. Only where peer support on a not-for-profit basis is unavailable, or for discrete, one-off activities, may outsourced services be procured on a commercial basis. Entities contracted to provide for-profit services are not considered WOP partners.

- Travel (such as international and local transportation<sup>21</sup>, accommodation, food/per-diems during WOP activities)
- Transfers to Additional Partner(s)<sup>22</sup>
- Logistics (site visits, workshop space, translation, travel insurance, etc.)

## Ineligible Costs

The following costs may not be covered by the EU-WOP Programme budget:

- Project cost incurred before the start date of the project
- Costs for preparing the EU-WOP Programme application
- Financing costs and interest costs
- Value Added Taxes (VAT)
- Inflation costs or costs related to changing exchange rates

## Counterpart Contribution (Cash or In-Kind Contribution):

Counterpart contributions to the WOP project count as leverage and are highly encouraged. Counterpart contributions may be made in cash or in-kind. All relevant counterpart contributions should be quantified as they contribute to cost-effectiveness assessments. Only contributions dedicated to the project should be counted. Counterpart contributions (cash and in-kind) must be reported in the financial statements of the project and be auditable.

## Rules Governing Financial Management of Grant

Lead Partners, having been vetted for their financial capacity as part of the application process, will apply their own rules and procedures for expending on the grant, within the following limits:

- Total transfers to Additional Partners cannot exceed 60% of total project budget.
- Transfers cannot exceed 100,000 USD for co-mentors and/or 50,000 USD for other types of Additional Partners, per transfer
- The procurement component, which includes outsourced services, in the budget is less than 25% of total project budget, and no single procurement action exceeds 40,000 USD.<sup>23</sup>

In the application process, Lead Partners must demonstrate that they are financially sound and have the needed capacity and mechanisms to manage the grant in accordance with their proposed budget. Project planning and budgeting must take into careful account realistic timeframes for any proposed procurement or transfer activity.

<sup>21</sup> Economy class travel and transportation are eligible under the grant.

<sup>22</sup> Only non-profit or public entities participating as Additional Partners are eligible for transfers from the Lead Partner. Transfers are distinct from any outsourcing of services provided on a commercial basis. The same expenditure eligibility rules apply on budgets of transfers to Additional Partners. The Lead Partner will apply its own vetted financial mechanism to provide such grants.

<sup>23</sup> Subcontracts and procurement actions shall not be artificially split into smaller requisitions in order to reduce the dollar value in a way that evades or circumvents this threshold. Such splitting or separating of a requirement shall mean and include reducing the scope and amount of goods or services to be procured by breaking into separate requirements that belong together by their nature, purpose, geography, timeline or mandate.

Prior to requesting their final payment instalment on the grant, Lead Partners are required to undertake an independent audit on project expenses.<sup>24</sup> The cost of the audit is an eligible expense under this grant.

All Agreements of Cooperation and their reports will be in US dollars, as the working currency of the UN. The following payment schedule will be followed for the Grant.

Installment	Upon Delivery of	Month	Percentage
1	Signed agreement	0	30
2	Satisfactory progress and financial report	12	30
3	Satisfactory progress and financial report	24	30
4	Satisfactory final substantive and audited financial report	36	10

Breakdown of AoC payment schedule from UN-Habitat to EU-WOP Lead Partner.

Budgeting and financial reporting on the EU WOP project grant shall follow the budget template provided in **Annex A: Phase I Application Form**.

The requested grant amount must be between USD 250,000 and USD 450,000. In addition to the requested grant amount, the total project budget is expected to include counterpart contributions (in cash and in-kind) from EU-WOP Project Partners.

Phase II Application Budgets must not vary by more than 10% from the total grant amount requested or the total counterpart contribution committed in the Phase I Application budget.

## Application Process

The application process has two phases: Phase I and Phase II. This package gives instruction on the Phase I Application. Applicants selected to submit the Phase II Application will receive further instructions upon notification of their successful Phase I evaluation.

Only Lead Partners whose proposals are successful in Phase I will be invited to submit a Phase II Application. As only the most promising proposals will advance, applicants recommended to present a high quality and accurate proposal in Phase I.

Phase II of the application process will serve to elaborate detail and substantiate commitments on the Phase I proposal in preparation for an Agreement of Cooperation with UN-Habitat. The GWOPA Secretariat will engage in dialogue with applicants proceeding to Phase II to provide feedback and guidance on their proposals.

For both phases of the application process, submission beyond the deadline, as well as any error or major discrepancy related to the points listed in the instructions on the applications, may lead to rejection.

Applicants may apply in English, Spanish or French.<sup>25</sup> Applications in other languages cannot be accepted.

<sup>24</sup> Audit must be conducted based on international audit standards. Audit opinion to be based on financial statements of the project (both revenues and expenditures).

<sup>25</sup> While applications can be received in Spanish and French, note that only English language reports will be accepted once the WOP project begins. Cost-effective translation expenditures are eligible under this grant.

Applicants are encouraged to submit their applications as early as possible in advance of the deadline. Complete Phase I Applications (**Annex A**) should be sent electronically to: [unhabitat.ubss.eoi@un.org](mailto:unhabitat.ubss.eoi@un.org). UN-Habitat will acknowledge receipt of applications.

A schedule for the application process is presented below in **Figure 2**.



**Figure 2:** Application Process.

## Phase I Application

Phase I applications must be submitted in the **Phase I Application Form (Annex A)**.

It is important that the **Phase I Application Form** document contains ALL relevant information concerning the proposed WOP. **No additional supplementary documents should be sent.**

The deadline for the submission of Phase I Applications is **midnight CET on 15 April 2021**. Any Phase I Application submitted after the deadline **may be rejected**.

For additional information on the EU-WOP Programme and Phase I Application in particular, please consult the Frequently Asked Questions (FAQs), which is will be updated regularly on the **[EU-WOP Programme Webpage](#)**.

If the FAQs do not answer your questions, enquiries concerning the Phase I application may be submitted electronically to **[unhabitat.ubss.eoi@un.org](mailto:unhabitat.ubss.eoi@un.org)** no later than 30 days before the Phase I submission deadline (**15 March 2021**).

Replies will be given no later than 15 days before the deadline for the submission of Phase I Applications (**31 March 2021**). UN-Habitat has no obligation to provide further clarifications after this date.

GWOPA will offer online sessions to provide additional guidance on the application process and aim to respond to common questions. Announcements about such events will be provided on the **[EU-WOP Programme Webpage](#)**.

Responses to questions that may be relevant to other applicants, as well as other important notices to applicants during the course of the Call for Proposals process, may be noted online on the **[EU-WOP Programme Webpage](#)**. It is highly recommended to regularly consult the website.

Applicants will be informed of the Selection Committee's decision concerning their Phase I application by **30 April 2021**.

## Evaluation and Selection

The proposals will be screened, evaluated and selected by a Selection Committee<sup>26</sup> following predefined Evaluation Criteria (see **[Annex B](#)**). The Selection Committee shall ensure independence and rigor in the evaluation and selection process, and compatibility with partnership policies and the established **objectives** of the EU-WOP Programme.

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<sup>26</sup> Members must attest to having no conflict of interest: their role must not benefit themselves, or persons with whom they have family, business, personal or financial ties and that they will not be engaged in the implementation or supervision of any of the WOP proposals that they are appraising.



# | Annexes

# Annex A: Phase I Application Form

# 1. Project Summary and Contact Information

1.1 Project Overview		
<b>Title of the Proposed WOP Project</b> (max 100 characters)		
<b>Beneficiary Partner(s)</b>	Name, city, country	Name, city, country
	Name, city, country	Name, city, country
	Name, city, country	
<b>Lead Partner</b>	Name, city, country	
<b>Additional Partner(s)</b>	Name, city, country	Name, city, country
	Name, city, country	Name, city, country
	Name, city, country	
<b>Funding window applied to:</b>	<b>Window 1.</b> This is a new WOP, with less than 1 year of partnership history between Lead and Beneficiary Partners	
	<b>Window 2.</b> This is a mature WOP, with 1 or more years of partnership history between Lead and Beneficiary Partners.	
<b>Project Overview Description</b> (max 100 characters)		
<b>Project Budget (USD)</b>	A) Total grant funding requested:	
	(B) Total counterpart funding (cash or in-kind):	

## 1.2 Contact Details <sup>27</sup>

<b>Contact person for this proposal from Lead Partner organization</b>	
<b>Role within organization (title)</b>	
<b>Contact telephone number</b> Area/country code + number	
<b>Contact email address</b>	
<b>Submitted by</b>	Name and title:
	Signature:
	Date:

<sup>27</sup> UN-Habitat should be notified in case of any change in contact information.

## 1.3 Project Checklist

### Phase I Application Project Checklist

This Project Checklist must be completed by the Lead Partner to indicate that the application submission is complete.

Partner-specific checklists are provided in the 'Partner Information' section below and must be completed by the respective Project Partners.

Documents listed under 'Phase II Application Project Checklist' need not be submitted as part of the Phase I Application but are shown to inform applicants of future submission requirements.

Please confirm:

The proposed project is a **Water Operators' Partnership (WOP)**.

The Proposed WOP will be carried out in accordance with the GWOPA Code-of-Conduct (see **Annex C**). Partners will participate on a not-for-profit basis, and not enter into profit-making contracts with the WOP Beneficiary Partner(s) for at least four (4) years after the end of the WOP.

The proposed WOP has been prepared in consultation with and is endorsed by *all* its proposed partners at the highest appropriate level.

The Phase I Application Form has been completed accurately and to the best of the knowledge of partners involved.

The Beneficiary Partner(s) endorsement letter(s) are attached.

### Phase II Application Project Checklist (for information)

For applications proceeding to the second phase, the following documents will be required:

- An integrity check<sup>28</sup> report on all WOP Partners and their clearance reports from World-Check showing that there is no negative finding on partner organisations or on any of the partner organisation's senior officials (e.g. Chairperson of the Board, Head of the Organization, Chief of Finance, etc.)
- Signed endorsement letters by all proposed Partners and/or signed WOP MoU.
- A GWOPA EU-WOP Operator Profile for all operator partners (Lead, Beneficiary and any Additional Partners that are water and sanitation service providers).

<sup>28</sup> A "No" rating in the integrity check disqualifies the application from further consideration and selection. Government entity and officials are exempted from the integrity check.

## 1.4 Partner Information

<b>Lead Partner</b>	Name of organization:
	Location:
	Briefly describe the organization (ownership, governance, mandate, services provided, community served). (max 200 words):
	What prior experience does the partner have with WOPs, if any? If no past WOP experience, please clearly indicate. <sup>29</sup> (max 100 words):
	If the organization is participating in any other EU-WOP Applications, please give the title of the other proposed EU-WOP projects here:
<p><b>Phase I Application Lead Partner Checklist</b></p> <p>To be completed by Lead Partner:</p> <p>The Lead Partner is a water/sanitation service provider that is either a government body or publicly-owned entity, registered and operating in a European or DCI country.</p> <p>The Lead Partner has the financial capacity to administer a grant following the proposed project budget, timeline and financial rules of this programme.</p> <p>The proposal presented herein has sufficient high-level support from within the Lead Partner Organization</p>	
<p><b>Phase II Application Lead Partner Checklist (for information)</b></p> <p>Lead Partners proceeding to Phase II Applications will need to provide the following certified documentation with Phase II Application:</p> <ul style="list-style-type: none"> <li>● Certificate of registration/Incorporation or Charter</li> <li>● Audited account statement for the last two years</li> <li>● Annual report for the last two years</li> <li>● Proof of non-profit or government-owned entity</li> <li>● Copy of the Constitution or by-laws</li> </ul>	

<sup>29</sup> Prior WOP experience is not a requirement for Window 1 applicants.

## 1.4 Partner Information

<b>Beneficiary Partner(s)</b>  Use an additional sheet for each Beneficiary Partner. Additional forms available in <b><u>Annex E</u></b>	Name of organization:
	Location:
	Website:
	Brief description of the organization (ownership, governance, mandate, services provided, community served). (max 200 words):
	What prior experience does the partner have with WOPs, if any? If no past WOP experience, please clearly indicate (max 100 words):
	If the organization is participating in any other EU-WOP Applications, please note the applications here:
<h3>Phase I Application Beneficiary Partner Checklist</h3> <p>To be completed by the Beneficiary Partner:</p> <p>Beneficiary Partner is a water/sanitation service provider that is either a government body or publicly-owned entity and is registered and operating in a European or DCI country.</p> <p>An endorsement letter, outlining the Beneficiary Partner's commitment and counterpart contributions to the WOP, signed at the appropriate level of authority, is attached.</p> <p>Contact of Beneficiary Partner focal point:</p>	
<h3>Phase II Application Beneficiary Partner Checklist (information only)</h3> <p>Beneficiary Partners in proposals proceeding to Phase II Application will need to provide the following certified documentation:</p> <ul style="list-style-type: none"> <li>● Annual Report</li> <li>● Latest benchmarking report</li> </ul>	

## 1.4 Partner Information

### Additional Partner(s)

Use an additional sheet for each Additional Partner. Additional forms available in **Annex E**

Name of organization:

Location:

Website:

Brief description of the organization. (max 100 words):

What prior experience does the partner have with WOPs, if any? **Link to WOP profiles**, if relevant. If no past WOP experience, please clearly indicate. (max 100 words):

Describe the proposed role of the Additional Partner in the WOP (e.g. co-mentor or other type of supporting partner). (max 100 words):

Is the Additional Partner a public or non-profit entity requiring any amount of staff time compensation for their contribution to the WOP?

Yes      No

### Phase I Application Additional Partner Checklist

To be completed by Additional Partner:

The organization serving as Additional Partner is registered in a member state of the European Union or a DCI-approved country, playing a co-mentoring or other supporting role in the WOP and contributing on a not-for-profit basis.

The proposal presented herein has sufficient high-level support from within the Additional Partner Organization to proceed as described if funded

Contact of focal point:

### Phase II Application Beneficiary Partner Checklist (information only)

Additional Partners in proposals proceeding to Phase II Application that intend to receive transfers under the EU WOP project grant will need to provide the following certified documentation:

- Certificate of registration/Incorporation or Charter
- Audited account statement for the last two years
- Annual report for the last two years
- Proof of non-profit or government-owned entity

### 1.5 Partnership History (Window 2 Applicants only)

Projects funded under Window 2 are to build on the results of ongoing or recent WOPs between Project Partners.

Please describe the Water Operators' Partnership(s) that the proposed EU-WOP project would build on. Description should include the partnership's duration, funding, partners involved, objectives, results, and key needs and opportunities still to be addressed. Please link to GWOPA **WOP profile**, if any. (max 250 words)

## 2. Project Concept

### 2.1 Partnership Arrangements

What is the planned partnership arrangement and how will the WOP Partners work together towards the project objectives? Please address:

- The added value (capacities, competencies, skills, perspectives, communities, reach, funding) of each proposed Lead and Additional Partner in the WOP
- Why this set of partners should work together (complementarities, commonalities that will help them achieve the project objectives)
- If there is more than one mentor or mentee operator, the arrangement and its added value
- Please describe the roles of any Additional Partners and how they will contribute to the partnership

(max 750 words)

## 2.2 Rationale, Context and Synergies

What is the rationale for this partnership? Describe and the challenges and opportunities faced by the Beneficiary Partner, including:

- Existing capacity and performance gaps of Beneficiary Partner (s), highlighting known strengths and weaknesses in areas concerning operational, financial, social or environmental sustainability, and service to all.
- How the beneficiary partner and its end-users, including the most vulnerable groups and communities, children and older persons, persons with disabilities and residents of informal settlements, are affected by the current situation
- Relevant social, economic, institutional and/or environmental context in which the Beneficiary Partner operates
- Frameworks, commitments, plans or projects that are relevant to this proposal (investment plans, infrastructure works, sectoral reforms; local or national commitments or action plans i.e. SDGs, UNSDCF, etc.)
- Recent, ongoing or upcoming project context that present challenges or opportunities relative to the proposed project
- Recent or ongoing capacity-building/infrastructure projects to be taken into account.

(max 1000 words)

## 2.3 Objectives and Expected Results

Please highlight the SDG 6 targets<sup>30</sup> (up to 2) that the proposed WOP expects to contribute to the most:

- 6.1** universal and equitable access to safe and affordable drinking water for all
- 6.2** access to adequate and equitable sanitation and hygiene for all
- 6.3** improved water quality, reduced untreated wastewater and increased recycling & safe reuse
- 6.4** increased water-use efficiency and sustainable withdrawals and supply of freshwater
- 6.5** implemented integrated water resources management at all levels
- 6.6** protected and restored water-related ecosystems (mountains, forests, wetlands, rivers, aquifers and lakes)
- 6.7** Supported and strengthen the participation of local communities in improving water and sanitation management

**Other SDG targets (beyond SDG 6).** Please identify:

Describe the expected results (outcomes) of the WOP project with reference to the EU-WOP Programme objectives, as they apply:

- Improved capacity and performance of the water and sanitation Beneficiary Partner(s) in relevant operational, financial, social and/or environmental sustainability/efficiency considerations.
- Additional finance for water and sanitation operational or infrastructure improvements
- Strengthened capacity of Beneficiary Partner(s) to address cross-cutting considerations (climate change, human rights, gender, age and disability)
- Strengthened capacity and commitment among WOP Partners to engage in Water Operators' Partnerships beyond the scope of this programme.<sup>31</sup>

(max 750 words)

<sup>30</sup> WOP projects will invariably contribute to 6.a expanded international cooperation and capacity-building support to developing countries

<sup>31</sup> This may include increased capacity of existing or new WOP partners to share their expertise with their peers, commitment of financial or government partners to participate in or enable WOPs and plans to extend WOPs beyond their initial duration with own funds.

## 2.4 Business Processes/Improvement Areas

Please indicate which areas of work (Working Areas) are to be improved through the WOP.

- Partnership Management (Default Working Area)
- Asset Management
- Billing & Collection Efficiency
- Business Planning
- Catchment Management/ Integrated Water Resource Management – IWRM
- Climate Change Adaptation
- Customer Relations
- Emergency and Risk Management
- Energy Efficiency and Climate Change Mitigation
- Faecal Sludge Management
- Financial Management
- Gender Mainstreaming
- Governance & Institutional Relations
- Human Resources/ Organizational Development
- Information & Technology (GIS, IMIS, Smart Systems...)
- Investment Projects
- Job Safety & Welfare
- Non-Revenue Water (NRW 1): Commercial Losses Management
- Non-Revenue Water (NRW 2): Physical losses management
- Operation & Maintenance
- Policy & Legal Support
- Production Processes & Service Quality & Water Safety (Drinking Water)
- Sanitation & Hygiene Services
- Service in Low-Income Areas
- Social Inclusion
- Stakeholder Engagement
- Storm Water Management
- Tariff Setting
- Waste-water Collection & Treatment
- Water Demand Management/Scarcity Planning
- Water Safety Planning
- Other. Please specify:

## 2.5 Approach

Please describe the overall approach to the WOP. This might include but is not limited to:

- Steps to further assess the Beneficiary Partner needs and proposed WOP actions (joint assessments and diagnostic exercises, etc.)
- How the WOP Partner organizations plan to work together to improve staff skills and knowledge (activities, including classroom-based, on-the-job, or distance learning, exchanges, etc.)
- How the WOP intends to build/anchor institutional capacity (joint planning and implementation, improved processes, tools, systems and plans)
- How investments will be leveraged, where applicable
- How staff of different genders and different professional categories, including workers, within the partner organizations, will meaningfully participate in the design, implementation, and monitoring of the proposed WOP
- How end users, paying special attention to the differentiated needs of women and men, children and older persons, children and youth, and people living with disabilities will be involved and/or their needs addressed through the WOP
- How mentorship capacity will be strengthened, where applicable ie. where co-mentoring is applied

Beneficiary Partner (max 1000 words)

## 3. Budget

3.1 Indicative Budget				
Please complete the following budget table, using guidance provided in the Eligibility of <b>Expenditures under the Grant</b> section of the Guidelines and the guidance information included the table.				
Expenses				
Budget Categories	Guidance	Notes, calculations	EU-WOP Grant Requested (USD \$)	Counterpart contribution (cash or in-kind) (USD \$)
Staff and other personnel costs	<p>Lead Partner staff time is an eligible expense on the EU-WOP grant.</p> <p>Beneficiary Partner staff time cannot be charged under the EU-WOP Grant. Beneficiary Partner time commitments can be counted as counterpart contributions.</p> <p><b>Note:</b> Any Additional Partner staff time costs to be charged against the grant should be included under 'Transfers and grants,' not here.</p>	Number of staff, levels and intensity of input, what activities and/or missions staff time is attributed to, etc.	Include cost-recoverable Lead Partner staff time here	Include all Partners (Beneficiary, Additional and Lead) in-kind staff cost estimates here.
Supplies, commodities, materials commodities, materials	<p>Includes consumables or supplies for project implementation i.e. learning materials, communication materials used to raise awareness and project visibility, among other.</p> <p>Office supplies should be reported as "General operating and other direct costs".</p>			May include any purchases made by the beneficiary partners specifically for the learning and performance improvement objectives of the project.

### 3.1 Indicative Budget

Equipment	<p>Small hardware/software that directly support the WOP capacity and performance improvement objectives and which are duly justified in relation to the project.<sup>32</sup> Items may include:</p> <ul style="list-style-type: none"> <li>• Equipment (e.g. leak detection equipment)</li> <li>• Software (e.g. supervisory control and data acquisition)</li> <li>• IT equipment (e.g. laptops, remote meeting or touring technology to facilitate WOPs at a distance)</li> </ul>			<p>May include any purchases made by the beneficiary partners specifically for the learning and performance improvement objectives of the project.</p>
Contractual services	<p>Contracts are distinct from transfers. They are meant for discrete, one-off or occasional needs that cannot be provided on a not-for-profit basis by Project Partners. Their use for capacity development activities should be kept to a minimum, prioritizing a peer support approach.</p> <p>Outsourced (contractual) services may include:</p> <ul style="list-style-type: none"> <li>• Translation of reports into English</li> <li>• Printing services</li> <li>• Short term engagement of experts holding expertise not available among the Project Partners</li> </ul>			

<sup>32</sup> The procurement component in the budget is less than 25 percent of total project budget and no single procurement action exceeds USD 40,000. Any procured hardware and equipment must remain with the Beneficiary Partner organization at the end of the project.

3.1 Indicative Budget				
Travel <sup>33</sup>	<p>International and local travel for all categories of project members and meeting participants, covering flight/train tickets, local transportation, fuel and vehicle rental for project workshops/ facility visits etc. All travels must be in economy class.</p> <p>Lodging/food/per-diems during WOP activities. If using per diems, they should be cost-effective and must not exceed UN Daily Subsistence Allowance (DSA).<sup>34</sup></p>			
Transfers and grants to counterparts	<p>Transfers and grants to Additional Partners with demonstrated <b>not-for-profit or public status participating in a non-profit capacity.</b></p> <p>Expenditure rules on the overall grant also apply to any sub-grants in this budget.</p> <p>Transfers may not <b>exceed 100,000 USD for co-mentors, 50,000 USD for other types of Additional Partners. The total of all transfers must not exceed 60% of the grant.</b><sup>35</sup></p>	Outline what any grants will cover, and mechanisms used to make transfers	Include Additional Partner staff costs to be covered by the grant here	Include Additional Partner in-kind staff cost contributions here

<sup>33</sup> It is recommended that all proposals be designed to account for likely travel restrictions for some or all of the partnership duration due to the COVID-19 pandemic.

<sup>34</sup> Refer to [icsc.un.org](https://www.icsc.un.org/).

<sup>35</sup> Transfers shall not be artificially split into smaller requisitions in order to reduce the dollar value in a way that evades or circumvents set thresholds. Such splitting or separating of a requirement shall mean and include reducing the scope and amount of goods or services to be procured by breaking into separate requirements that belong together by their nature, purpose, geography, timeline or mandate.

### 3.1 Indicative Budget

General operating and other direct costs	Logistics costs associated with facilitation activities (e.g. rental of workshop space).  Estimated audit costs should be included in the proposed budget. <sup>36</sup>			
<b>Total project costs</b>		<b>Total Requested EU-WOP Grant Amount <sup>37</sup></b>		

### 3.2 Budget Narrative

Provide a brief justification for the main applicable outlined budget lines. Explain how the partnership is offering value for money.

(max 500 words)

<sup>36</sup> Audits must be conducted based on international audit standards. Audit opinion to be based on financial statements of the project (both revenues and expenditures). Applicants should assume audit costs of between USD 5,000 and USD 15,000.

<sup>37</sup> Total amount requested must be between USD 250,000 and USD 450,000. While applicants invited to submit a Phase II Application can make adjustments of up to 10% the budget estimates, the total grant contribution requested in the Phase II Application cannot be increased and the counterpart contribution cannot be lowered.

### 3.2 Budget Narrative

Please explain what financial mechanisms the Lead Partner will use to implement any procurement or transfers under this budget.

(max 250 words)

If Lead or Additional Partners are unable to contribute staff time in-kind, please explain why.

(max 100 words)

# Annex B: Evaluation Criteria

# Evaluation Criteria

The EU-WOP Programme Evaluation Criteria is based on lessons learned from past WOP programmes studied or managed by GWOPA, the evaluation of the 2010 European-funded EU-ACP partnership programme<sup>38</sup> as well as the specific EU-WOP Programme objectives. The criteria also draw from extensive consultation with water and development stakeholders in Europe, UN-Habitat and European Commission's Directorate-General for International Cooperation and Development (DEVCO) staff.

The weighting of each criteria at each phase is indicated. Criteria that will be elaborated significantly in the Phase II are given less weight in the Phase I assessment.

## EU-WOP Application Evaluation Criteria Weighting by Phase

Criteria Type	Weighting (%)	
	Phase I	Phase II
Partnership Arrangements	30	0
Context/Synergies	20	10
Objectives/Expected Results	20	30
Approach	15	30
Budget Considerations	15	30
Total	100	100

The component considerations under each criteria area for the Phase I Application assessment are listed here, in order of priority (most important are listed first).

### Partnership Arrangements:

- Each partner adds unique, cost-effective value to the WOP (competencies, skills, perspectives, communities, reach, counterpart contributions, etc.).
- All partners demonstrate commitment to the WOP (high level support, in-kind staff time).
- The partners are appropriate and complementarity (strengths, needs, language, size, culture etc.).
- The partnership engages relevant new (with less than 1 year of experience) partners in WOPs - mentees, mentors, and other supporting Additional Partners.
- The WOP involves a co-mentoring arrangement that aims to strengthen the capacity of a less experienced mentor.
- WOP beneficiaries and end users are associated in the WOP.

<sup>38</sup> See 2017 report on how to improve upon the 2010 European-funded EU-ACP partnership programme, available here: [https://europa.eu/capacity4dev/public-water\\_and\\_sanitation/documents/final-report-strengthening-water-partnerships](https://europa.eu/capacity4dev/public-water_and_sanitation/documents/final-report-strengthening-water-partnerships)

## Rationale/Context/Synergies

- The Beneficiary Partner(s)' capacity and performance challenges and their impact on end users are well understood and compelling
- Opportunities for synergies and complementarities, especially ongoing and planned investments, have been identified (any similar or relevant projects for the Beneficiary Partner are named and taken into account)
- There is an appreciation of how different stakeholders, especially vulnerable groups, are instrumental in or affected by the current situation
- The policy and regulatory context are favourable to effective implementation and strong results
- COVID-19-related challenges and priorities have been identified
- Context that may affect the planning and implementation of the WOP are highlighted

## Objectives/ Expected Results

- The proposed WOP expects to improve Beneficiary capacity and performance to address identified gaps
- The WOP expects to leverage additional (investment) finance
- The WOP expects to build Beneficiary capacity to address climate change, apply a human rights approach, and better serve a vulnerable populations
- The WOP expects to strengthen WOP Partners' ability and engagement to do effective WOPs
- The Expected results are ambitious but also realistic
- The WOP contributes clearly to the SDG 6 targets and other relevant frameworks including the New Urban Agenda, the Paris Agreement Under the United Nations Framework Convention on Climate Change and the European Green Deal
- The proposed WOP aims to "leave no one behind", advancing service access to women, people with disabilities, older people, indigenous populations, refugees, immigrant populations, low-income groups, etc.

## Approach

- The approach/activities respond to demand and a sound assessment of challenges
- The proposed approach logically supports achievement of the expected results
- The proposed approach strengthens, and does not substitute, Beneficiary Partner capacity
- Collaboration in WOP design, implementation and monitoring by Lead, Beneficiary, and (where relevant and appropriate) Additional Partners is proposed
- WOP activities build on ongoing priorities and activities of the Beneficiary Partner
- Activities aim to build knowledge and anchor it into operations/working routines identified
- The implementation plan is realistic with respect to project ambitions and the timescales of organisational change
- The WOP seeks gender balance in its design, implementation and monitoring
- Staff at different professional levels, including workers', are involved its design, implementation and monitoring
- The project is "carbon-effective", using air travel efficiently and only as needed
- The project engages its end users in its design
- The project takes into account likely travel restrictions related to COVID-19

## Budget Considerations

- The Beneficiary Partner utility is contributing financially to the WOP
- There are strong potential linkages to investment for operational improvements or infrastructural investments
- The budget shows strong counterpart leverage on the grant amount
- The Lead Partner has the capacity and mechanisms to manage the WOP as budgeted
- The partnership is cost-effective, with efficient allocation of funds
- The budget is clear and well justified
- The partnership responsibilities are rationally distributed based on partner capacities/costs
- The budget addresses all areas of the project and gives due consideration to cross-cutting issues, communication and advocacy

## Other considerations

- There is a possibility of continued partnership beyond the initial scope of the WOP
- The WOP takes place in a Least Developed Country
- The partnership addresses underrepresented but important themes including, but not limited to: sanitation, wastewater treatment, safe disposal, recycling and reuse, access for the poor and most vulnerable, fostering payment for ecosystem services (green-based infrastructure) through water tariffs, climate change adaptation/mitigation, and access linked to social infrastructure (schools, health centres, hospitals, community centres), fostering innovation, etc.)
- Partnership proposes integrated and innovative solutions/approaches that accelerate sustainable responses to ongoing challenges facing the Beneficiary organization(s)

# Annex C: GWOPA Code of Conduct

# WOPs Code of Conduct

## Introduction

This code of conduct lays down the principles or the “rules” for partnerships between utilities and water operators that are undertaken as WOPs under the umbrella of the Global Water Operators Partnerships’ Alliance. Such partnerships are facilitated and supported collaboratively by the Global WOPs Alliance and regional WOPs platforms around the world.

This code of conduct does not offer guidance on whether a specific partnership is the suitable option for the parties. It mainly applies once the parties have decided to pursue a partnership and highlights the expected conduct and requirements of such a partnership. The “rules” presented hereinafter are meant to guide the formation and implementation of efficient, results-oriented, and socially acceptable partnerships between water operators.

## Good Governance

All stakeholders will take all needed measures to conduct their activities within the partnership according to the principles of good governance, including:

- Transparency
- Accountability
- Responsiveness to stakeholders’ concerns and interests
- Consensus-orientation
- Clarity and common understanding of stakeholders’ roles, rights, responsibilities, and expectations
- Compliance with local laws

## Integrity

Central to WOPs is the sharing of knowledge in a not-for-profit and unrestrained way and built upon the notion of solidarity between utilities. Its purpose is to enhance the capacity and capability of public utilities within the guiding principle of integrity. Therefore:

The partners agree that no information will be intentionally withheld by any party in anticipation of any commercial gains, and no confidential information of one party will be used by the other party for its commercial advantage.

## Social and Cultural Values

All stakeholders will take needed measures to abide by and respect the social and cultural values of the location where they are engaging in WOPs, including:

- Respecting the cultural norms and behaviours relevant to the local context
- Recognizing and respecting the influence of gender, age, culture and religion on the different perspectives and values accorded to water and sanitation

## Resolution of Conflicts

All stakeholders will form partnerships based on mutual trust and respect, address all issues with full transparency, and collaborate to identify workable solutions.

## Results - Orientation

Prior to engagement, partners shall prepare written partnership agreements that outline a) the objectives of the partnership and expected outputs b) the roles and responsibilities of each partner, c) the value (in-kind and cash) of the partnership and d) the interests of each party in engaging in partnership. The agreement should form the basis for professional, results-oriented cooperation, while leaving sufficient room for flexible solutions, as the context and issues are subject to change and evolve.

## Cost sharing and Not-for-Profit

Activities carried out by any partner or stakeholder within a WOP shall be done on a not-for-profit basis.

WOPs should never be used as a vehicle for commercial activities by any party. Activities within a WOP will incur costs for both partners. The parties have to identify these costs and decide together whether to bear these costs themselves, appeal for external support, or both. The respective contributions of the parties, be they in-cash or in-kind, shall be mutually agreed by the parties themselves.

## Shared Incentives

Particular objectives and common interests of all stakeholders will be openly discussed to identify all possible costs and benefits in the arrangement. The respective motivations of both parties shall be explicitly discussed.

WOPs' benefits are mutual, but not necessarily equal. Partners have to respect the bona fide interests of their counterparts and seek actions that advance the goals of the partnership without requiring compromise of a partner's key interests.

We, the subscribing parties, agree to apply the present Code-of-Conduct in performing all activities within the water operator partnership (WOP) between our organizations under the umbrella of the Global Water Operators' Partnerships Alliance.

Organization	Organization	Organization
Name	Name	Name
Signature	Signature	Signature
Date	Date	Date

# Annex D: EU DEVCO Eligible Country List

## DCI-Approved Countries

Afghanistan	Burkina Faso	El Salvador	Israel
Algeria	Burundi	Equatorial Guinea*	Jamaica
Angola	Cambodia	Eritrea	Jordan
Anguilla	Cameroon	Ethiopia	Kazakhstan
Antigua and Barbuda	Cape Verde	Falkland Islands	Kenya
Argentina	Cayman Islands	Fiji	Kiribati
Armenia	Central African Republic	French Polynesia	Kyrgyzstan
Aruba	Chad	French Southern and	Laos
Azerbaijan	Chile	Antarctic	Lebanon
Bahamas	China	Lands	Lesotho
Bangladesh	Colombia	Gabon	Liberia
Barbados	Comoros	Gambia	Libya
Belarus	Congo, Dem. Rep.	Georgia	Madagascar
Belize	Congo,	Ghana	Malawi
Benin	Cook Islands	Greenland	Malaysia
Bhutan	Costa Rica	Grenada	Maldives
Bolivia	Côte d'Ivoire	Guatemala	Mali
Botswana	Cuba	Guinea	Marshall Islands
Brazil	Djibouti	Guinea-Bissau	Mauritania
British Antarctic Territory	Dominica Dominican	Guyana	Mauritius
British Indian Ocean	Republic	Haiti	Mayotte
Territory	East Timor	Honduras	Mexico
British Virgin Islands	Ecuador	India	Micronesia,
Morocco	Egypt	Indonesia	Moldova
Mozambique	Pitcairn islands	Iran	Mongolia
Myanmar	Russia	Iraq	Montserrat
Namibia	Rwanda	Suriname	Zimbabwe
Nauru	Saint Helena	Swaziland	
Nepal	Saint Kitts and Nevis	Syria	
Netherlands Antilles	Saint Lucia	Tajikistan	
New Caledonia	Saint Vincent and the	Tanzania	
Nicaragua	Grenadines	Thailand	
Niger	Saint Pierre et Miquelon	Togo	
Nigeria	Samoa	Tonga	
Niue	São Tomé e Príncipe	Trinidad and Tobago	
North Korea	Senegal	Tunisia	
Occupied Palestinian	Seychelles	Turkmenistan	
territory	Sierra Leone	Turks and Caicos Islands	
Oman	Solomon Islands	Tuvalu	
Pakistan	Somalia	Uganda	
Palau	South Africa	Ukraine	
Panama	South Georgia and the	Uruguay	
Papua New Guinea	South	Uzbekistan	
Paraguay	Sandwich Islands	Vanuatu	
Peru	Sri Lanka	Venezuela	
Philippines	Sudan*	Vietnam	
		Wallis and Futuna	
		Yemen	
		Zambia	

# UN Least Developed

## Countries (LDCs)

Afghanistan	Gambia	Rwanda
Angola	Guinea	Sao Tome and Principe
Bangladesh	Guinea-Bissau	Senegal
Benin	Haiti	Sierra Leone
Bhutan	Kiribati	Solomon Islands
Burkina Faso	Lao People's Democratic Republic	Somalia
Burundi	Lesotho	South Sudan
Cambodia	Liberia	Sudan
Central African Republic	Madagascar	Timor-Leste
Chad	Malawi	Togo
Comoros	Mali	Tuvalu
Democratic Republic of the Congo	Mauritania	Uganda
Djibouti	Mozambique	United Republic of Tanzania
Eritrea	Myanmar	Vanuatu
Ethiopia	Nepal	Yemen
	Niger	Zambia

## European Union Member States

Austria  
Belgium  
Bulgaria  
Croatia  
Cyprus  
Czechia  
Denmark  
Estonia  
Finland  
France  
Germany  
Greece  
Hungary  
Ireland  
Italy  
Latvia  
Lithuania  
Luxembourg  
Malta  
Netherlands  
Poland  
Portugal  
Romania  
Slovakia  
Slovenia  
Spain  
Sweden  
United Kingdom<sup>39</sup>

## Ineligible Countries

Albania  
Andorra  
Australia  
Bahrain  
Bosnia and Herzegovina  
Brunei  
Canada  
Holy See  
Iceland  
Japan  
Kuwait  
Liechtenstein  
Monaco  
Montenegro  
New Zealand  
North Korea  
North Macedonia  
Norway  
Qatar  
San Marino  
Saudi Arabia  
Serbia  
Singapore  
South Korea  
South Sudan  
Switzerland  
Timor-Leste  
Turkey  
United Arab Emirates  
United States of America

<sup>39</sup> Partners from the United Kingdom are eligible as the European funding window predates the UK departure from the European Union.

# Annex E: Additional Forms

# Beneficiary Partner form

Partner Information (Additional Form)	
<b>Beneficiary Partner(s)</b>  (Use an additional form for each Beneficiary Partner)	Name of organization:
	Location:
	Website:
	Brief description of the organization (ownership, governance, mandate, services provided, community served). (max 200 words):
	What prior experience does the partner have with WOPs, if any? If no past WOP experience, please clearly indicate (max 100 words):
	If the organization is participating in any other EU-WOP Applications, please note the applications here:
<b>Phase I Application Beneficiary Partner Checklist</b>  To be completed by the Beneficiary Partner:  Beneficiary Partner is a water/sanitation service provider that is either a government body or publicly-owned entity and is registered and operating in a European or DCI country.  An endorsement letter, outlining the Beneficiary Partner's commitment and counterpart contributions to the WOP, signed at the appropriate level of authority, is attached.  Contact of Beneficiary Partner focal point:	
<b>Phase II Application Beneficiary Partner Checklist (information only)</b>  Beneficiary Partners in proposals proceeding to Phase II Application will need to provide the following certified documentation: <ul style="list-style-type: none"> <li>● Annual Report</li> <li>● Latest benchmarking report</li> </ul>	

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Beneficiary Partners in proposals proceeding to Phase II Application will need to provide the following certified documentation:

- Annual Report
- Latest benchmarking report

Partner Information (Additional Form)	
<b>Beneficiary Partner(s)</b>  (Use an additional form for each Beneficiary Partner)	Name of organization:
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	Website:
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Contact of Beneficiary Partner focal point:

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- Annual Report
- Latest benchmarking report

# Additional Partner form

Partner Information (Additional Form)	
<b>Additional Partner(s)</b>  (Use an additional form for each Partner)	Name of organization:
	Location:
	Website:
	Brief description of the organization. (max 100 words):
	What prior experience does the partner have with WOPs, if any? <a href="#">Link to WOP profiles</a> , if relevant. If no past WOP experience, please clearly indicate. (max 100 words):
	Describe the proposed role of the Additional Partner in the WOP (e.g. co-mentor or other type of supporting partner). (max 100 words):
	Is the Additional Partner a public or non-profit entity requiring any amount of staff time compensation for their contribution to the WOP?      Yes      No
<b>Phase I Application Additional Partner Checklist</b>  To be completed by Additional Partner:  The organization serving as Additional Partner is registered in a member state of the European Union or a DCI-approved country, playing a co-mentoring or other supporting role in the WOP and contributing on a not-for-profit basis.  The proposal presented herein has sufficient high-level support from within the Additional Partner Organization to proceed as described if funded  Contact of focal point:	
<b>Phase II Application Beneficiary Partner Checklist (information only)</b>  Additional Partners in proposals proceeding to Phase II Application that intend to receive transfers under the EU WOP project grant will need to provide the following certified documentation: <ul style="list-style-type: none"> <li>• Certificate of registration/Incorporation or Charter</li> <li>• Audited account statement for the last two years</li> <li>• Annual report for the last two years</li> <li>• Proof of non-profit or government-owned entity</li> </ul>	

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(Use an additional form for each Partner)

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Location:

Website:

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Describe the proposed role of the Additional Partner in the WOP (e.g. co-mentor or other type of supporting partner). (max 100 words):

Is the Additional Partner a public or non-profit entity requiring any amount of staff time compensation for their contribution to the WOP?      Yes      No

### Phase I Application Additional Partner Checklist

To be completed by Additional Partner:

The organization serving as Additional Partner is registered in a member state of the European Union or a DCI-approved country, playing a co-mentoring or other supporting role in the WOP and contributing on a not-for-profit basis.

The proposal presented herein has sufficient high-level support from within the Additional Partner Organization to proceed as described if funded

Contact of focal point:

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