

SWFF Rd. 4 Frequently Asked Questions

1. **On page 5 of 7 – what does country of implementation MEAN? Does that mean ALL countries where the innovation CAN be implemented? Or just the ones we are currently targeting at first? Does it hurt us to select all of the countries listed? Arsenic in water for agriculture is a widespread problem ... thanks for letting me know.**

The country (ies) of implementation means all countries in which the applicant plans to implement and expand the use of the innovation during the potential 3-year timeframe of the SWFF award. For example, if the innovation could be used in every country on the planet, but the applicant only plans on using SWFF funding in Ethiopia in Y1, Ethiopia and Kenya in Y2, and Nigeria in Y3, then the countries of implementation would be Ethiopia, Kenya, and Nigeria, even though the innovation could be used in other countries.

2. **Our technology cleans the arsenic out of water so that water can be used for irrigation (and drinking). Arsenic kills some crops and is absorbed by others and passed to people. Running water through our machine, as a pre-treatment to desal processes, also makes the desal equipment more efficient and last longer. Question: Does our arsenic-removal technology qualify for consideration in this grant process?**

As noted on pp.16-17 of the Rd. 4 RFA, the following types of innovations are not likely to be funded by SWFF in Rd. 4:

- a) Innovations that fail to clearly demonstrate how they can eventually ensure sustainable benefits in line with the development purpose of SWFF (e.g., enhanced value of the agricultural chain, promotion of food security, sustainable water resource development, increased broad-based economic growth in developing or emerging countries, and a focus on impacting the poor).
- b) Innovations that fail to clearly demonstrate their positive impact on the poor and women.
- c) Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge.
- d) Technologies that have not yet been piloted.
- e) Innovations focused on sustainable water supply access without an explicit benefit to the food sector. This agriculture link must have been demonstrated during the pilot.
- f) Innovations focused on agricultural products and services without a significant and sustainable water component.
- g) Large dam projects for water capture and storage.
- h) wastewater treatment projects that lack an explicit and inherent benefit to the food value chain.
- i) Large pipeline infrastructure projects.

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- j) One-off water technology installations or pilot projects to support proven technologies for proven applications, unless they include an innovative component(s) to achieve scale, such as a new business model.
- k) Established, commercially viable technologies that are already used throughout the eligible countries.
- l) Solar/PV drip irrigation systems.

If the technology can clearly demonstrate the linkage between water and agriculture, then it could potentially be funded by SWFF.

- 3. As our innovation is still in development phase, we would like to know if we can apply for funding to the 2016 Securing water for food. We are still in the research phase, and none of our designs has been patented yet. We are forecasting that we will take around two years to patent our technology. Thus, we would like to ask you if we can apply at this stage to the Securing water for food grants, and if this grant also finances scientific equipment, salaries and other research expenses (we calculate a budget of ca. 250,000 usd to complete this project).**

As noted on pp. 16-17 of the Rd. 4 RFA, "Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge." and "Technologies that have not yet been piloted." are not eligible for SWFF funding.

However, if the innovation has been piloted in a developing country, and the applicant is looking to scale the innovation, then the application will be reviewed.

- 4. How will I get the status of my application after submission?**

Concept note applicants will receive an email notification that their application has been submitted.

In addition, once all concept notes have been reviewed, applicants will be notified by email as to whether they have advanced to the Semi-Finalist stage and invited to submit a full application or if they have not advanced to the Semi-Finalist stage.

- 5. Is there a template for which to follow to submit to the Securing Water for Food: A Grand Challenge for Development - Round 4 Call for Concept Notes? Do we have to submit a Concept Note or a full proposal.**

Yes, please click on "Start" at this link: <https://swff.forms.fm/securing-water-for-food-a-grand-challenge-for-development-round-4-call-for-concept-notes/responses/new>

Once you click "Start" you will be guided through the SWFF concept note application (as noted on pp. 27-28 of the Rd. 4 RFA), including the following information:

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1. Name and full address of Applicant including country where Applicant is incorporated or registered
2. Type of organization/firm (e.g., for-profit, non-profit, academic institution, etc.)
3. Point of Contact information (name, position title, phone number, fax number, e-mail address)
4. Names of other organizations/firms that are partnering organizations in the proposal. Where joint partnerships include innovators from low-and middle-income countries, we encourage the partnership to designate the low- and middle-income country partner as the Project Manager.
5. Size of organization (for partnerships and consortiums, list the combined total)
6. Technical Focus Area (Improving Water Efficiency and Reusing Wastewater; Innovative Water Capture and Storage Systems; Salinity)
7. Concise proposal title
8. Country(ies) where the proposed activities will be implemented
9. Stage Applying to (Stage 1-Market driven product/business development; Stage 2-Scaling/Commercial Growth)
10. Type of Innovation (Business Model, Technological; Both)

Applicants then answer a series of questions related to their innovation on Technical Viability, Biz/Financial Viability, and Application and Sustainability in Developing or Emerging Country(ies).

- 6. We made an application into SWFF last year, which reached the final interview stage but was ultimately not funded. If we feel that we are now better placed to address the reviewers reservations, could we resubmit the same idea, with some modifications ?**

Yes, SWFF encourages Rd. 3 Finalists that have improved their application to apply for SWFF Rd. 4. However, SWFF must clearly note that all concept notes will be reviewed on their merits, regardless of any previous application.

- 7. Are there restrictions around size of corporation that can apply?**

As noted on p. 26 of the RFA "Securing Water for Food is open to all organizations / companies regardless of size. We encourage applications from small and medium enterprises (SMEs) around the world."

- 8. Somalia somaliland ngo wants to make an account for this project and we are requesting support. How do we work this account and use the password and username?**

Your question is unclear. If you are having difficulty creating a username and password, please email swffplatformhelp@dobt.co.

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9. **Thank you very much for a vital initiatives on securing water for food a grand challenge for development. I am asking from the Bangladesh. " Is Bangladesh eligible to apply for this grant" [for Securing Water for Food: A Grand Challenge for Development Competition (Round 4)] for addressing drought prone areas of Dinajpur, thagugaon and panchagar areas regarding practice of climate smart agriculture. It will be highly appreciated for your kind response against my quarries.**

As noted on p. 42 of the Rd. 4 RFA, Bangladesh is an eligible country for implementation.

10. **I want to know if a person can apply using a product and a service on two different applications for the Securing Water for Food Innovation challenge.**

Individuals may not apply for SWFF funding. However if the applicant is an organization, they can apply with multiple concept notes, provided that the products or services are materially different in each concept note. SWFF will not provide any comment on the merits of an individual proposal before concept note review.

11. **In the RFA, it states, "DUE DATE: Concept Notes shall be received no sooner than August 15, 2016 and no later than October 10, 2016 at 5:00 PM (Washington, DC local time)," but the RFA was only released on August 15th! It would be great if you could clarify when the concept notes would be due and, if a concept note is among the 80 accepted, when the final proposal is due.**

Thank you for reviewing the Rd. 4 RFA. When the RFA notes that the applications shall be received "no sooner than August 15" that means that any application sent before that day would not be reviewed. All eligible concept note applications reviewed between August 15, 2016 and October 10, 2016 at 5:00 PM will be reviewed. As noted on p. 18 of the RFA, concept notes that proceed to the semi-finalist stage will submit full applications in late Nov-Mid December, 2016.

12. **On the application opening page you state as deadline Oct 10, 5:00 PM and Oct 10, 11:00 PM (upper right); in the PDF document, you state Oct 10, 5:00 PM. What is the right deadline? Please correct this and be consistent, people might get confused. Thanks.**

The 11pm time in the upper right is conditioned based on your time zone, not EDT, and cannot be modified. The 5pm EDT time is equivalent to the 11pm time that the system is showing in your location.

13. **Our organization is interested in identifying potential farm demonstration cooperatives for the 4th SWFF Challenge. We have a low energy - inexpensive Technology (less than \$10/month for 300 acres) that can treat saline/brackish groundwater and/or pour quality freshwater for use in irrigating crops. We have conducted 4 complete Cooperative Farm Demonstration Projects to date in the US with significant results.**

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As noted in the Rd. 4 RFA, applications will not be reviewed unless the complete the full application through the application platform. Please watch the webinar on Aug. 31 if you are unable to fill out the application.

14. Can organizations in Jamaica apply for this funding too?

Yes. As noted on p. 42 of the Rd. 4 RFA, Jamaica is an eligible country for implementation.

15. Do you allow individual application?

As noted on pg. 26 of the Rd. 4 RFA:

"Size – Securing Water for Food is open to all organizations / companies regardless of size. We encourage applications from small and medium enterprises (SMEs) around the world."

Therefore, applications from individuals are ineligible for SWFF funding.

16. We would like to disseminate the "Securing Water for Food: A Grand Challenge for Development 4th Global Call for Innovations" opportunity among Argentinean and other Latin American experts. Could you please clarify if they can apply and the application requirements?

Please review p. 42 of the Rd. 4 RFA, which provides the eligible countries for implementation. However, applicants from Argentina are eligible to apply to implement in developing countries either in the region, or globally, provided that they have a partner organization based in the developing country (ies) of implementation. As noted on pg. 42, applications for implementation in many Latin American countries are eligible to apply. For further tools to disseminate the call, please go to <http://securingwaterforfood.org/apply> and visit the "INFLUENCER AND MEDIA PARTNER COMMUNICATION MATERIALS" section of the page.

17. We have received, in the past, a USAID innovation grant for "Powering Agriculture" and that led to a specific design and pilot. Can we see funding from this program to further refine business models and delivery concept?

If the application meets the eligibility requirements on p. 26, then it will be reviewed. However, it is highly unlikely that a Powering Agriculture funded innovation will receive SWFF funding unless the innovation is accelerating towards scale at a much larger scope (i.e. Stage 2 innovation reaching more than 100,000 customers) than the innovation achieved through Powering Agriculture.

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18. We are an Irish based NGO working in Eritrea and Ethiopia on food security, agriculture, climate change and resilience. Are we eligible for the call? and we need template for CN application.

As noted in the response to question # 5, please click the “Start” button on the right hand side of the application to get to the application questions. As noted on p. 26 of the RFA:

Applicants must meet the following minimum requirements to participate in the fourth call for Securing Water for Food:

1. Type – Securing Water for Food is open to all organizations regardless of type (e.g. for profit, not-for-profit, academic).
2. Size – Securing Water for Food is open to all organizations / companies regardless of size. We encourage applications from small and medium enterprises (SMEs) around the world.
3. Location – See footnote for geographic restrictions.
4. Language- Applications responses must be written in English.
5. Matching funds – Awardees must secure matching funds; see Section I.B.3.B for details.
6. Local presence – All applicants must use the funds to implement the innovation in a developing or emerging country (OECD DAC 1 – 3 country listing – see page Appendix I). In addition, applicants must either already have a presence in that country or must have a local partner (supporting documentation required).
7. Impact – Innovations must have a direct linkage between water and the food value chain. In addition, innovations must directly or indirectly benefit the poor (income, products, opportunities). In addition, applications must contribute to gender equality and avoid negative environmental effects and local market distortions.

Applicants from any category of organization or institution, U.S. or non-U.S., are welcome to respond to this solicitation. Specific categories of organizations and institutions that are welcome to respond include, but are not limited to, for-profit and not-for-profit organizations, foundations, educational, industrial, and academic institutions, civic groups, and regional organizations. Securing Water for Food welcomes and encourages high quality applications, especially from women-owned/women-led enterprises and developing country entrepreneurs.

Note: Government entities and individuals are not eligible to apply for funding. For the purposes of this RFA, publicly-funded universities or universities with government affiliations are not considered governments.

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Please also review pp. 15-17, which describes what kinds of applicants SWFF is/is not looking to fund.

19. Is Bolivia an eligible country?

As noted on p. 46 of the Rd. 4 RFA, Bolivian applications are not eligible for awards from USAID. However, if an application from Bolivia proceeds through all application stages to the award nominee stage, SWFF will transfer the application of that award nominee to Sweden or the Netherlands, at which time those countries will determine if they want to fund the application separately.

20. Writing to enquire if:

- a. **the call for proposals applies to innovations that are not purely technical, but have a strong behavioral/economic component that can affect farmers' decisions on adoration and use of water saving technologies.**

The call also applies to careful field evaluations of groundbreaking approaches to large scale improvements in water use efficiency, implemented by governments, private companies or public private partnerships that combine a technical and policy component. I am sure you will agree that improvements in water use efficiency critically depend on the performance of such innovative programs and my question is whether there is interest in funding such studies.

Applications with a strong behavioral/economic component are eligible to apply provided that the business model can be demonstrated in the first year of implementation and that the behavioral/economic component has already been piloted in at least one developing country.

As noted on p. 16-17 of the RFA SWFF will not fund "c)Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge." Therefore, unless the innovation is a new business model or technology, it is unlikely to receive SWFF funding.

21. Is there any specific format for proposal for this RFA (<http://securingwaterforfood.org/apply>)? I am wondering where could I find it?

If you go to <https://swff.forms.fm/securing-water-for-food-a-grand-challenge-for-development-round-4-call-for-concept-notes>, you will see a "START" button in the top right hand side. If you click on that button, it will take you to the application questions. See the response to question # 5.

22. I am interested in applying for "Securing Water for Food" funding on behalf of my rice producing team in Nigeria. What is the matching fund percentage that applicants must provide?

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Stage 1 applicants are required to have 25% matching funds or in-kind contributions for Y1 and 50% for Y2 and Y3.

Therefore, Stage 1 applicants must have \$25,000 in matching funds for Y1, \$75,000 for Y2, and \$125,000 for Y3. As noted on p. 19 of the Rd. 4 RFA, "awardees must have either matching funds (cash/cash equivalent) or in-kind contributions to satisfy the matching requirements. In-kind contributions can come from internal or external sources. Examples of external in-kind contributions include the value of time donated by technical or business experts and technology, communications, or capital assets. Resource-sharing from publicly-funded programs also qualifies as external in-kind matching. Examples of internal in-kind contributions include the value of salaries for staff dedicated to a project or self-investment."

Stage 2 applicants are required to have 25% matching funds or in-kind contributions for Y1 and 50% for Y2 and Y3.

Therefore, Stage 2 applicants must have \$125,000 in matching funds for Y1, \$363,000 for Y2, and \$388,000 for Y3. As noted on p. 20, Stage 2 awardees are not allowed to rely upon in-kind contributions to meet the matching requirements. Note also that matching funds for Stage 2 awardees must come from external sources and must be provided on market, quid-pro-quo terms. For example, the entity that is providing the external matching funds may provide cash or a cash equivalent to the awardee in return for equity, an advance purchase order, a share of royalties, rights in the technology, a percentage of profit, or any other similar combination thereof. The external funds must pay for activities that further the growth, development, or commercialization of the innovator's technology (e.g., manufacturing, distribution, marketing). The external matching funds may not be obtained through a grant, gift, or any other non-market-based terms.

24. What will matter if one has a great project and has not a fluent English speaking for the teleconference video interview. What do think one can do?

As noted on p.26 of the Rd. 4 RFA, all applications must be in English. If the applicant is not able to effectively communicate the significance of the application during the VTC interview, the Innovation Investment Advisory Committee (IIAC) members may not be able to fully identify the value of the application. If the team present on the VTC interview can fully explain the application and answer follow-up questions in English, then the IIAC members will be able to fully value the application responses.

25. What metrics are used to determine a project that has potential to be brought to scale? What constitutes a pilot? Does the product need to have been offered for sale? Our team has successfully tested preliminary models of our system with volunteer operators. We consider this a pilot. We are seeking funding specifically to fund assembly, distribution, and sales for the current model that was designed based on the volunteer operator feedback. We have piloted the technical aspects of the product. We have not piloted the distribution and sales side. Are we eligible to apply now or do we need to have revenue generated from product sales first?

Please read pp. 14-16 of the Rd. 4 RFA. Applicants that hope to receive SWFF funding must be able to demonstrate the qualities noted under "we are interested in supporting innovations that:".

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For the concept application questions on how the innovations will be evaluated, please read pp. 34-37 of the RFA. For the draft full application questions on how the innovations will be evaluated, please read pp.43-48 of the RFA.

As noted on p. 16 of the Rd. 4 RFA:

"Securing Water for Food aims to source emerging, cutting-edge business and technology innovations at the water/food nexus. The focus of the challenge is to support game-changing innovations at two stages, both of which must be post-pilot. Securing Water for Food will not provide funding for traditional development programs and is not looking to evaluate proposals that present conventional approaches. Securing Water for Food will not fund proposals that do not present a viable business model with sufficient backup documentation for the financial model, particularly in the Stage 2 category where this aspect must be especially well developed.... Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge."

Therefore, if the applicant cannot verify that all components of the innovation have been piloted, including having enough evidence of latent consumer demand, it is highly unlikely to receive SWFF funding. However, if there is strong evidence of consumer demand based on a valid set of customer surveys, clear sales and marketing strategy, and a local partner, then the application may have the potential to receive SWFF funding.

26. I am a member of trained young rice farmers. We have 500-hectare farmland allocated to us by the government. Can we use the land as our "matching fund" to apply for Securing Water for Food? Kindly send me the link to all questions answered or FAQ.

Please refer to p.19-20 of the Rd. 4 RFA that notes, "Examples of external in-kind contributions include the value of time donated by technical or business experts and technology, communications, or capital assets. Resource-sharing from publicly-funded programs also qualifies as external in-kind matching. Examples of internal in-kind contributions include the value of salaries for staff dedicated to a project or self-investment."

Based on the definitions listed in the RFA, the land allocated cannot be used as the matching fund to apply to SWFF Rd. 4.

A PDF of all the questions answered or FAQ will be made available on securingwaterforfood.org website as well as made available to download on the application platform.

27. Our research group is keen to submit a proposal on precision irrigation scheduling using novel Internet based technologies for the fruit industry. Are we allowed to partner researchers from other countries in the proposal other than the ones stated in the call (i.e. USA, Sweden, the Netherlands)?

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Yes, applicants are able to partner with other organizations from around the globe, as long as one of the organizations is based in the country of implementation.

28. Is it allowed for an agency to submit more than one application for instance one for Gambia with partner X and another for Zambia with Partner Y?

Organizations can apply with multiple concept notes, provided that the products or services are materially different in each concept note and there are different innovations. However, if there is only one innovation, the organization should only submit 1 application and note in that application that the innovation will be implemented in multiple countries.

Each application will be reviewed separately. However, please note that organizations that win multiple awards will need to have different project managers.

29. In the previous response to my question, you asked me to " refer to p.19-20 of the Rd. 4 RFA ". Please, where can I get full details of the reference above from page 1 to end? Kindly send me the link to the reference of the RFA.

The Rd. 4 RFA can be found as an attachment under "FILES" in the home page of the "Securing Water for Food: A Grand Challenge for Development - Round 4 Call for Concept Notes" found here: <https://swff.forms.fm/securing-water-for-food-a-grand-challenge-for-development-round-4-call-for-concept-notes>. Please click on the file icon to download the Rd. 4 RFA.

30. Hi, I saw agreement officer has written "Prospective Applicants who have questions concerning the contents of this RFA shall submit them in writing no later than August 26, 2016 at 5:00 PM (Washington, DC local time) to the online application platform (<http://securingwaterforfood.org/apply>). We have an advance idea and within short time possible for us to implement it to the affected areas. The project idea is harvesting rain water in Bangladesh North-western part. This area is affected by natural calamity (drought, famine). Most of the people are so poor. We will use 'science and technology' to implement the project. The project not only helps the poor people but also improve the women lifestyle. Implementation project will develop the areas economically, socially & educationally. I saw the deadline is 10th October but what I have to submit August 26. Do you think, I have to answer all of technical questions and submit before August 26.

Thank you for reviewing the Rd. 4 RFA. When the RFA notes that the applications shall be received "no sooner than August 15" that means that any application sent before that day would not be reviewed. All eligible concept note applications reviewed between August 15, 2016 and October 10, 2016 at 5:00 PM will be reviewed. As noted on p. 18 of the RFA, concept notes that proceed to the semi-finalist stage will submit applications in late Nov-Mid December, 2016.

31. I would like to submit a proposal aimed at developing and piloting a novel plant-based irrigation scheduling platform whose information will be available online in near real time to improve water use efficiency in irrigated orchards in South Africa. With this technology, farmers will be able to make timely and precise decisions on when to irrigate their orchards and with how much water from anywhere as long as they have access to the internet e.g. via their smart phone, PC etc. The South African fruit industry is ripe for this kind of technology given that nearly all of our export fruit are produced under irrigation. The country itself is water scarce with more than 60% of the available water allocated to

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irrigation and yet between 30 and 40% of this water is estimated to be wasted through inefficient irrigation management according to the country's National Water Resources Strategy document of 2013.

As noted on p. 16-17 of the RFA SWFF will not fund "c)Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge." Therefore, unless the innovation is a new business model or technology, it is unlikely to receive SWFF funding.

32. Can our organization submit more than one regional project proposal under the same RFA in partnership with two or more Arab countries?

Organizations can apply with multiple concept notes, provided that the products or services are materially different in each concept note and there are different innovations. However, if there is only one innovation, the organization should only submit 1 application and note in that application that the innovation will be implemented in multiple countries.

Each application will be reviewed separately. However, please note that organizations that win multiple awards will need to have different project managers.

33. I just came across this grant proposal call and am interested in applying. However, I'm a little confused about the deadlines. It says that proposals are due on October 10th, and concept notes on August 15th. Can I still apply if I have not yet submitted a concept note (today is August 24th)?

The concept note application window is Aug. 15-Oct. 10th. You have until Oct. 10th to submit a concept note application.

34. I would like to know if there is a template to present the proposal? Should the proposal be written only in English?

On the opening page of this website, there is a "Start" button. Once you click on that button, you will be taken to the concept note application.

Applications must be written in English to be eligible for review.

35. Does USAID have any geographical restrictions in the Dominican Republic in which we can implement our innovations? In addition, how can we register in the live question-and-answer webinar that will take place on August 31, 2016 from 11:00-12:30pm EDT?

As noted on p. 42 of the Rd. 4 RFA, the Dominican Republic is an eligible country for implementation.

No registration is necessary for the webinar. Interested parties only need to click on the provided link.

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- 36. We are interested in submitting an application for funding from this Call however I wanted to clarify that we are indeed eligible. Our organization in South Africa is a parastatal but is classified as a Research Council. Do our links to government preclude us from applying?**

As noted on p. 26 of the RFA, "Government entities and individuals are not eligible to apply for funding. For the purposes of this RFA, publicly-funded universities or universities with government affiliations are not considered governments." If your organization is a government research council, then the organization is ineligible. If the organization is a research council that is independent, then the organization is eligible.

- 37. We are interested in submitting an application for funding from this Call however I wanted to clarify if we are eligible. Our organization is in Johannesburg, South Africa and is a parastatal but is classified as a Statutory Research Council and reports directly to the Minister of Mineral Resources in Parliament. We are partly government funded. Do our links to government classify us as a 'government entity' and as such preclude us from applying as stated in the last paragraph of page 26 of the Call document?**

As noted on p.26 of the Rd. 4 RFA, "Government entities and individuals are not eligible to apply for funding. For the purposes of this RFA, publicly-funded universities, research institutions, or universities with government affiliations are not considered governments." If your organization is a government research council, then the organization is ineligible. If the organization is a research council that is independent, then the organization is eligible.

- 38. Our company is a business accelerator that focuses on startups that have a technically proven innovation for a more sustainable, efficient agro-food sector in emerging And developing countries. For each round of our company's project we scout 10 promising innovative startups around a specific themes within the agro-food sector, such as nutrition, post-harvest loss or water for foods. We offer a five-month validation program which is unique because we offer local coaching thanks to our large global network of business development experts. We help startups to bridge the crucial Pioneer gap by getting them investee ready. Would we be eligible for the call if we propose a program for 10 promising innovative startups with a proven technological innovation within the objectives of the SWFF project, i.e.**

Accelerators are not eligible for this call. However, any of the innovative startups that meet the eligibility requirements and have local country implementation partners are eligible for this call.

- 39. Our company is interested to apply for the call on securing water for food: Grand Challenge for Development. Since there are 3 focal areas, we wanted to know if an applicant is supposed to cover all three or any single aspect of the 3 focal areas.**

An applicant can cover any single focus area or any combination of the 3 focus areas.

- 40. Where is the application form for the grant?**

The concept note is actually a series of answers to the questions listed in the RFA and is the online application. To start the online application, simply click on the "Start" link to the top right of the page. You will then be taken through a series of questions to answer. If you choose not to complete your application all at once, your information will be autosaved until you return. If you

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do not click "Preview and submit" once you've answered all of your questions, your application will not be reviewed.

41. What are eligible organizations? Can I apply as a small company?

As noted in the response to question # 5, please click the "Start" button on the right hand side of the application to get to the application questions. As noted on p. 26 of the RFA:

Applicants must meet the following minimum requirements to participate in the fourth call for Securing Water for Food:

1. Type – Securing Water for Food is open to all organizations regardless of type (e.g. for profit, not-for-profit, academic).
2. Size – Securing Water for Food is open to all organizations / companies regardless of size. We encourage applications from small and medium enterprises (SMEs) around the world.
3. Location – See footnote for geographic restrictions.
4. Language- Applications responses must be written in English.
5. Matching funds – Awardees must secure matching funds; see Section I.B.3.B for details.
6. Local presence – All applicants must use the funds to implement the innovation in a developing or emerging country (OECD DAC 1 – 3 country listing – see page Appendix I). In addition, applicants must either already have a presence in that country or must have a local partner (supporting documentation required).
7. Impact – Innovations must have a direct linkage between water and the food value chain. In addition, innovations must directly or indirectly benefit the poor (income, products, opportunities). In addition, applications must contribute to gender equality and avoid negative environmental effects and local market distortions.

Applicants from any category of organization or institution, U.S. or non-U.S., are welcome to respond to this solicitation. Specific categories of organizations and institutions that are welcome to respond include, but are not limited to, for-profit and not-for-profit organizations, foundations, educational, industrial, and academic institutions, civic groups, and regional organizations. Securing Water for Food welcomes and encourages high quality applications, especially from women-owned/women-led enterprises and developing country entrepreneurs.

Note: Government entities and individuals are not eligible to apply for funding. For the purposes of this RFA, publicly-funded universities or universities with government affiliations are not considered governments.

Applications with a strong behavioral/economic component are eligible to apply provided that the business model can be demonstrated in the first year of implementation and that the behavioral/economic component has already been piloted in at least one developing country.

As noted on p. 16-17 of the RFA SWFF will not fund "c)Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge." Therefore, unless the innovation is a new business model or technology, it is unlikely to receive SWFF funding.

42. My team wanted some clarification as to whether we would be eligible. We teach communities how to farm mealworms, protein rich insects that require much less water than livestock. The work we do is based on the proven benefits and ease of farming mealworms as exhibited by the numerous commercial and home growers of mealworms, as

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well as the work of other organizations like Aspire that are turning to insects as a more sustainable source of protein in countries around the world. That being said, our particular training program is being piloted this fall. We have already partnered with groups in Guatemala and identified women interested in participating in our training, but does the fact that we have not yet concluded the trainings nor begun to gather our follow up data disqualify us from applying. We wanted to be sure we understood what is meant by having completed a pilot before we begin working on our application.

As noted on p. 16 of the RFA SWFF will only fund post-pilot innovations. If the applicant has not yet piloted the innovation, the application will be deemed ineligible for SWFF funding.

43. What should the Concept Note contains? What should be the content and page limit?

The concept note is actually a series of answers to the questions listed in the RFA and is the online application. To start the online application, simply click on the "Start" link to the top right of the page. You will then be taken through a series of questions to answer. If you choose not to complete your application all at once, your information will be autosaved until you return. If you do not click "Preview and submit" once you've answered all of your questions, your application will not be reviewed.

44. We are a Bangladeshi NGO want to participate in this programme and submit concept note, want to know, are we eligible to submit concept note independently, prior not to develop partnership with other USA, Netherlands or Swedish NGO or Companies? If so what would be the maximum level of fund for a project? Is it require to contribute funding engagement; like ; 10% or 25% fund contribution of applicant? Is it require to submit log frame and full budget (descriptive budget) with the concept note? Can we eligible to invite partner after full proposal submission period (subject to accept concept note stage)?

Please read pp.4-22 of the SWFF Rd. 4 RFA, as the RFA will answer questions related to the matching funds requirement, the Rd. 4 review process, and the maximum funding level. In addition, SWFF will be hosting a webinar that will answer these questions on Aug. 31 from 11-12:30pm ET at <https://ac.usaid.gov/rd4rfa/>

45. Are you providing any priory in funding for Bangladeshi NGOs or Companies? if so how many project(s) will be allocated for Bangladeshi Applicants?

Please read pp.4-22 of the SWFF Rd. 4 RFA, as the RFA will answer questions related to the matching funds requirement, the Rd. 4 review process, and the maximum funding level. In addition, SWFF will be hosting a webinar that will answer these questions on Aug. 31 from 11-12:30ET at <https://ac.usaid.gov/rd4rfa/>

46. Please provide answers to the following questions:

- a. **Can our proposed project include two piloted innovations from two different companies if these companies have not worked together previously? Or do the innovations need to be piloted together in order to be eligible for a SWFF investment?**

Yes, as long as the 2 piloted innovations have been used in combination previously. Otherwise, the application would have to be for one innovation or the other to be considered post-pilot, as required by the SWFF Rd. 4 RFA.

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- b. Can these companies combine the number of customers that they serve and funding they raise to be eligible for a stage 2 investment?**

As noted in the RFA, though SWFF is highly supportive of partnerships, in the end one organization is responsible for the results of an award. If that organization claims that the innovation has X customers/end-users/funding, then the organization must provide evidence for those claims, and can combine that evidence from members of the partnership. However, that evidence must directly support the innovation that won the award, and not the two organizations separately that then combine their evidence.

- c. If one product has hundreds of end users, can the case be made that multiple sales of this product have reached 10,000 end users in order to be eligible for a stage 2 investment?**

No, SWFF will not accept that justification.

- d. Can you provide some further detail about matching funds. In particular, it states that Stage 2 matching funding must be from external sources. Does this exclude capital raised through our company shareholders to support further growth?**

As noted on p.26 of the Rd. 4 RFA for Stage 2 awardees: Stage 2 (Scaling/Commercial Growth) awardees are required to have matching funds (cash/cash equivalent) to satisfy the matching requirements. Stage 2 awardees are not allowed to rely upon in-kind contributions to meet the matching requirements. Note also that matching funds for Stage 2 awardees must come from external sources and must be provided on market, quid-pro-quo terms. For example, the entity that is providing the external matching funds may provide cash or a cash equivalent to the awardee in return for equity, an advance purchase order, a share of royalties, rights in the technology, a percentage of profit, or any other similar combination thereof. The external funds must pay for activities that further the growth, development, or commercialization of the innovator's technology (e.g., manufacturing, distribution, marketing). The external matching funds may not be obtained through a grant, gift, or any other non-market-based terms.

- 47. Evaluation criteria for any submitted Concept Note include a clearly demonstrated demand for the proposed innovation and the Total Addressable Market (TAM). Does the TAM have to be in terms of the technology itself or can it be expressed in terms of the end result, namely increased sales of specific agricultural products, such as high-value horticultural crops?**

The demand needs to be for the innovation itself, whether a technology or a business model.

- 48. I run an NGO that is almost 2 years active. What are the requirements for institutions to apply?**

Please read pp. 14-16 of the Rd. 4 RFA. Applicants that hope to receive SWFF funding must be able to demonstrate the qualities noted under "we are interested in supporting innovations that" section.

For the concept application questions on how the innovations will be evaluated, please read pp. 34-37 of the RFA. For the draft full application questions on how the innovations will be evaluated, please read pp.43-48 of the RFA.

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As noted on p. 16 of the Rd. 4 RFA:

"Securing Water for Food aims to source emerging, cutting-edge business and technology innovations at the water/food nexus. The focus of the challenge is to support game-changing innovations at two stages, both of which must be post-pilot. Securing Water for Food will not provide funding for traditional development programs and is not looking to evaluate proposals that present conventional approaches. Securing Water for Food will not fund proposals that do not present a viable business model with sufficient backup documentation for the financial model, particularly in the Stage 2 category where this aspect must be especially well developed....Innovations focused on research and development for a product without a clearly defined market or potential for commercialization or growth within a three-year timeframe. Innovations without potential or intent for commercialization do not fit within the scope of this challenge."

Therefore, if the applicant cannot verify that all components of the innovation have been piloted, including having enough evidence of latent consumer demand, it is highly unlikely to receive SWFF funding. However, if there is strong evidence of consumer demand based on a valid set of customer surveys, a clear sales and marketing strategy, and a local partner, then the application may have the potential to receive SWFF funding.

49. For Stage 2 applications, would USAID consider in kind contributions that come from more traditional bootstrapping methods? For example, would USAID consider allowing microcredit or beneficiary/customer investment for sources of match funding for stage 2?

As noted on p.26 of the Rd. 4 RFA for Stage 2 awardees:

Stage 2 (Scaling/Commercial Growth) awardees are required to have matching funds (cash/cash equivalent) to satisfy the matching requirements. Stage 2 awardees are not allowed to rely upon in-kind contributions to meet the matching requirements. Note also that matching funds for Stage 2 awardees must come from external sources and must be provided on market, quid-pro-quo terms. For example, the entity that is providing the external matching funds may provide cash or a cash equivalent to the awardee in return for equity, an advance purchase order, a share of royalties, rights in the technology, a percentage of profit, or any other similar combination thereof. The external funds must pay for activities that further the growth, development, or commercialization of the innovator's technology (e.g., manufacturing, distribution, marketing). The external matching funds may not be obtained through a grant, gift, or any other non-market-based terms.

Customer investment is acceptable for Stage 1 awardees, but not Stage 2 awardees.

50. Regarding matching funds, on page 20 of the RFA, USAID states "For example, the entity that is providing the external matching funds may provide cash or a cash equivalent to the awardee in return for equity, an advance purchase order, a share of royalties, rights in the technology, a percentage of profit, or any other similar combination thereof..."

Should this be interpreted to mean that USAID is only interested in stage 2 pathways to scale that result in single entity expansion (i.e. the development of one company, or licensing by one company to distributors), or would USAID consider models that scale through the system as well? If systemic scaling is allowed, could USAID provide examples of match

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funding that USAID would consider that as investment originating inside a local system that results in scale?

SWFF is only interested in stage 2 pathways to scale that result in single entity expansion (i.e. the development of one company, or licensing by one company to distributors).

Though systemic scaling is allowed/encouraged, Stage 2 applicants must have external matching funds as noted in the question.

51. Would USAID be willing to share the results framework they are delivering on for this project, to help us identify how our targets could help USAID deliver on their targets?

All applicants are encouraged to visit <http://securingwaterforfood.org/media-resources> and download the SWFF annual and semi-annual reports to help determine previous SWFF success stories.

52. In terms of monitoring and evaluation delivery, does USAID expect to include this in the budget for the proposed project, or would that be covered separately by USAID? If it is to be part of the budget, does USAID have a proposed minimum percentage of the budget they would like submissions to include?

Indeed, SWFF expects that Monitoring and Evaluation will be included in the budget for Full Applications. As noted in USAID's Evaluation policy, it is expected that projects spend at least 3-5% of their budget on monitoring/evaluation activities. However, please note that applications are currently being accepted at the concept note stage. Only applicants that are invited to the Full Application stage will be required to submit a budget.

53. Appendix 3 includes budget guidance for this RFA for stage 2. Can USAID confirm that this is referencing Stage 2 of the applications process, and not specific requirements for submissions for stage 2 funding?

Thank you for pointing this out. The page should say "Full Application Budget Information Requirements." Please note that budget information will only be requested for applicants (both Stage 1 and Stage 2) that are invited to the Full Application Stage.

54. Would USAID be open to stage 2 projects that expand current innovations that have focused on crops to also include livestock?

SWFF will not provide any comment on the merits of an individual proposal before concept note review. Please review pages 13-17 of the Rd. 4 RFA, which describes what will not be funded by SWFF. Please also review Eligibility Criteria on page 26.

55. Please answer the following questions:

- a. As we are moving into detailed discussions with potential partners, questions will arise. Will there be a second round of question opportunities? Question 2: We are currently in discussions with a large oil company who is interested in treating produced water for agriculture. Are there any restrictions on the size of a potential partner in Country?**

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There are currently no additional Q&A sessions scheduled. Please read p. 26 of the Rd. 4 RFA for eligibility criteria.

b. Please confirm that an organization may submit more than 1 application.

Organizations can apply with multiple concept notes, provided that the products or services are materially different in each concept note and there are different innovations. However, if there is only one innovation, the organization should only submit 1 application and note in that application that the innovation will be implemented in multiple countries.

Each application will be reviewed separately. However, please note that organizations that win multiple awards will need to have different project managers.

56. Please confirm that organizations may submit proposals that include more than 1 country.

Organizations can apply with multiple concept notes, provided that the products or services are materially different in each concept note and there are different innovations. However, if there is only one innovation, the organization should only submit 1 application and note in that application that the innovation will be implemented in multiple countries.

Each application will be reviewed separately. However, please note that organizations that win multiple awards will need to have different project managers.