



# Phase 4 Information Pack and Concept Proposal form

Update: July 2018

**INCENTIVE  
FUND**



Incentive Fund is an Australian aid initiative, managed by Coffey, a Tetra Tech company, on behalf of the Australian Government.

# Table of contents

<b>Background to the Incentive Fund .....</b>	<b>2</b>
<b>About Phase 4 .....</b>	<b>2</b>
<b>Activities that can be supported by the Incentive Fund.....</b>	<b>3</b>
<b>Activities that are not eligible for funding .....</b>	<b>3</b>
<b>What are the funding amounts that are available? .....</b>	<b>4</b>
<b>Eligible organisations.....</b>	<b>4</b>
<b>Detailed criteria .....</b>	<b>4</b>
<b>Project management cost policy .....</b>	<b>5</b>
<b>Counterpart contribution policy for private sector organisations and foundations .....</b>	<b>5</b>
<b>Five-stage application process .....</b>	<b>6</b>
<b>Preparing a Concept Proposal for Gateway and Development screening .....</b>	<b>6</b>
<b>How can applications be made? .....</b>	<b>7</b>
<b>Annex 1 .....</b>	<b>8</b>
Eligibility Criteria Checklist .....	8
<b>Annex 2.....</b>	<b>9</b>
Concept Proposal application form .....	9
<b>Annex 3.....</b>	<b>20</b>
Concept Proposal Criteria for Gateway and Development screening.....	20

## Abbreviations

AHC	Australian High Commission Port Moresby
CP	Concept Proposal
DFAT	(Australian) Department of Foreign Affairs and Trade
DNPM	Department of National Planning and Monitoring
DP	Detailed Proposal
EP	Environmental Plan
GoPNG	Government of Papua New Guinea
IFA	Incentive Fund Agreement
OA	Organisational Assessment
OMG	Operational Management Group
SMG	Strategic Management Group

This document is for organisations that are interested to learn more about Incentive Fund Phase 4. It provides information on who can apply, what activities can be considered and the application process. Organisations are particularly requested to take note of the detailed criteria. More information about the Incentive Fund is available on request.

## Background to the Incentive Fund

The Incentive Fund enables high-performing organisations in Papua New Guinea (PNG) to access support for projects that have a strong development impact for the PNG people. It is a jointly agreed activity under the Australian Government and Government of PNG (GoPNG) bilateral treaty and is funded by the Australian Government aid program.

Incentive Fund has been operating in PNG since 2000 through phases 1, 2 and 3, delivering some of the country's most high-profile development projects. These include the redevelopment of markets, primary and secondary schools, technical and vocational institutions, universities, research facilities, hospitals, health centres, aid posts, clinics and bridges.

## About Phase 4

Incentive Fund Phase 4 (IF4) began in August 2015. The goal and purpose of IF4 are as follows:

**Goal:** To improve the capacity of organisations to meet the service delivery and economic development needs of the women, children and men of Papua New Guinea.

**Purpose:** To attract, identify and incentivise good performing organisations to expand the reach, coverage and quality of their contribution to service delivery and/or economic development in Papua New Guinea.

There are three **key** End-of-Program targets of IF4. Funding is to be distributed so that:

- A. At least 80% of investments will support the empowerment of women and girls
- B. At least 20% of investments will support private sector engagement
- C. At least 50% of investments will be allocated to infrastructure.

Applicants will be required to demonstrate how project outcomes contribute to these targets.

In alignment with GoPNG and Government of Australia priorities, IF4 is especially encouraging projects that:

- Involve agriculture and rural development
- Target a broader partnership spectrum, especially the private sector and civil society organisations
- Benefit provincial PNG
- Feature innovative ideas
- Represent development effectiveness and value-for-money, from design to delivery of projects.

## Activities that can be supported by the Incentive Fund

Funding is to support activities in a range of sectors that include health, education, transport, law and justice, governance and public administration, private sector development, agriculture and rural development.

Funding is not limited to these sectors and could include:

- ✓ Private sector-driven projects demonstrating direct community benefits
- ✓ Training and skills development (e.g., nursing, tertiary, vocational skills, basic education)
- ✓ Economic development activities (e.g., markets, regional agriculture, key infrastructure)
- ✓ Health – regional, provincial and district community health activities
- ✓ Gender equality and women's empowerment (e.g. addressing family and sexual violence, promoting women's leadership and economic empowerment)

Please note: The eligibility of activities related to loans, lending and micro-finance as well as sports will be considered on a case-by-case basis.

These and other Concept Proposals should be consistent with GoPNG and Australian Government development strategies and plans. In particular, all applicants are expected to clearly demonstrate how their proposal will support the empowerment of women and girls.

## Activities that are not eligible for funding

It is important to note that the following activities are excluded from Incentive Fund support (this list is not comprehensive and may change over time):

- New infrastructure or equipment (including houses and vehicles) that is not integrally linked to a service delivery or income generation objective
- New services distinct from existing core business or the relocation of services
- Core or recurrent funding of standard organisational operations
- Comprehensive organisational development, institutional strengthening or capacity development activities or projects for organisations that do not have an existing core capacity for service delivery
- Projects promoting religious activities, including the construction and/or maintenance of churches or places of worship
- Applications involving the procurement of land
- Compensation payments of any type
- Research of a commercial nature where the beneficial copyright will not directly reside with GoPNG, provincial or local government, or community groups
- International fellowships, scholarships, study tours and conferences
- Any costs after completion of the project.

## What are the funding amounts that are available?

Grants are issued for a minimum of K1 million to a maximum of K10 million. Proposals that are below the minimum amount or above the maximum cannot be further considered.

Previous Incentive Fund recipients must provide a counterpart contribution of 10% for each grant already received and the total project cost in these cases should not exceed K10 million. This contribution should not be through a co-funding arrangement.

## Eligible organisations

A wide range of PNG organisations are eligible to apply for funding, including:

- Provincial and local-level governments and their trading organisations
- Statutory non-commercial government authorities such as research organisations, universities, schools and hospitals
- Community organisations including non-governmental organisations, faith based organisations, women's organisations, and local offices of international non-governmental organisations
- Private sector organisations and foundations.

National government departments are not eligible for funding.

Project proposals involving third parties will be reviewed on a case-by-case basis.

*Please note: Where there is clear evidence of a proposal being written by a third party who is charging substantive consultancy fees the OMG, after assessment, may recommend to the SMG not to proceed with the proposal.*

## Detailed criteria

**To qualify for funding, organisations must be registered with the Investment Promotion Authority (IPA), or be established by PNG legislation.**

In addition, organisations must demonstrate that they meet the following core criteria for funding:

- Evidence of independently audited accounts:** All interested and applying organisations must ensure they have been audited by an independent, registered auditor (for private and non-government organisations) or the PNG Auditor General (for eligible government organisations), for two or more recent consecutive years in the last four years. Certified audit reports must be without qualification, pertaining to the PNG operations and submitted with financial statements for the relevant years.
- Clear title to land:** For any projects involving infrastructure activities, evidence of security to land title, lease (accepted as a traditional 99-year lease where land ownership reverts to GoPNG; generally, sub-leases are not acceptable) or legally-registered land use agreement (for customary land) is a requirement.
- Adequate program management capacity** must be available for the scope of the project.
- The organisation** must have a history of successful completion of projects of a similar size and nature and have an appropriate management structure and membership.

- E. All assets created by the project will be community or government owned or in some way be assured as an asset that will benefit the community on an ongoing basis, with clear land title or use arrangements.
- F. The project must comprehensively address issues of sustainability.
- G. The project must have letters of support from relevant government departments, other service providers and the community. These should include a commitment to recurrent funding if relevant.
- H. An organisation can submit more than one Concept Proposal. However, there can only be one grant per organisation at any one time.
- I. The organisation must agree to address gender, women's empowerment, HIV/AIDS, disability, child protection and environment issues.
- J. Project proposals should demonstrate how project outcomes will contribute to IF4's End-of-Program targets.

## Project management cost policy

The following policy applies to the eligibility of project management costs for inclusion in IF4 project budgets:

1. Actual direct costs associated with the delivery of the project (i.e. the cost of "doing") are eligible costs
2. Organisational core/ indirect/ recurrent costs (i.e. the cost of "being") are not eligible costs
3. In recognition of varying circumstances, each project proposal will be considered on its merits and value-for-money issues may come into consideration during decision-making
4. The SMG retains complete discretion on all cost recognition and funding decisions.

## Counterpart contribution policy for private sector organisations and foundations

Private sector organisations and foundations will be required to make a Counterpart Contribution to their proposed project, in one of the following ways:

- A cash contribution as a proportion of Total Project Value (minimum 10%)
- Equivalent in-kind contribution of project management arrangements
- Demonstration of other complementary investments in direct support of the project

Previous Incentive Fund grant recipients in this category will be subject to an additional 10% contribution for each previous project implemented.

The maximum Total Project Value remains K10m and the organisation's contribution will be part of that amount and not additional to it.

A private sector organisation is generally considered to be a for-profit entity that is not owned or operated by the government.

A private sector foundation is generally considered to be a charitable or developmental entity that is identified with or controlled by a specific private sector organisation.

The SMG retains discretion as to the application of these definitions and the required form of Counterpart Contribution.

## Five-stage application process

There are five stages in the application, screening, appraisal and funding process:

<b>Stage 1:</b> Gateway Screening	The Incentive Fund team carries out desk reviews of Concept Proposals (CPs) and organisation self-assessments. CPs that pass the gateway criteria screening are transferred to the Operational Management Group (OMG), which has Australian High Commission (AHC) and Department of National Planning and Monitoring (DPNM) members, for development priority assessment. The OMG is provided with a summary of all CPs indicating those that are non-compliant.
<b>Stage 2:</b> Development Screening	The OMG coordinates with their sectors to have input on GoPNG development priorities. The OMG provides their feedback to Incentive Fund on the CPs that meet or do not meet the development priorities. Strategic Management Group (SMG) provides feedback on any issues they may have on the gateway criteria selection. Recommendations are put to the SMG for review and endorsement. The SMG selects organisations to move to Stage 3 and undergo an Organisational Assessment (OA). If the OA is successful, the organisation may be invited to prepare a Detailed Proposal (DP).
<b>Stage 3:</b> Organisational Assessment	OAs ensure the organisation has the capacity to deliver the proposed project and maintain post-activity support. This includes a clear local political economy and operating context assessment to highlight any risks regarding the on-going operations and maintenance required from the Incentive Fund Agreement (IFA) investment, and how risks will be mitigated. OAs are summarised, shared with the OMG and sent to the SMG for approval.
<b>Stage 4:</b> Detailed Proposal	After OA approval is given by the SMG and with Incentive fund team support, a DP is developed that includes implementation plan, budget and a clear end-of-program position.
<b>Stage 5:</b> Incentive Fund Agreement	Once satisfied with the DP the Incentive Fund team submit it to the SMG for review and approval. If approval is given, an Incentive Fund Agreement is confirmed and signed and project implementation begins.

## Preparing a Concept Proposal for Gateway and Development screening

The first step in applying for an Incentive Fund grant is to prepare a CP for Stage 1 Gateway and Stage 2 Development screening. The CP must provide enough information for Incentive Fund to decide:

- Whether an organisation and its proposed project are eligible for funding (Stage 1 criteria); and
- The development value of the proposed project (Stage 2 criteria).

The CP form is included in this document. A Word version is available at [www.incentivefund.org](http://www.incentivefund.org). Section A of the form asks specific questions about the organisation. Section B requires an outline of the proposed project.

Organisations should **answer all the questions on** the CP form. The application should provide enough information (**including all attachments requested**) for the SMG to determine whether planned activities align with development priorities (Stage 2 criteria) and whether the organisation is capable of carrying out the activities. This means you should provide a clear picture of what the project entails and its expected outcomes.

Take particular note of the requirement of evidence of financial audits and land documents. Your proposal will not be considered until this evidence is provided.

If your CP passes the Stage 1 and Stage 2 screening processes, Incentive Fund will write to you to discuss an Organisational Assessment (Stage 3). After this your organisation **may** be invited to prepare a Detailed Proposal (Stage 4).

**DO NOT prepare a Detailed Proposal unless invited to do so by Incentive Fund**

Concept Proposals can be submitted at any time. Applications will be reviewed on a quarterly basis by the SMG. Meeting dates and cut-off times are on the IF4 website:

[www.incentivefund.org](http://www.incentivefund.org)

## How can applications be made?

Response time will vary depending on when you lodge and the volume of applications. It is anticipated that proposals received will be reviewed quarterly and feedback provided thereafter.

### Applications can be submitted:

1. By mail: PO Box 523, Waigani 131, Port Moresby, NCD, Papua New Guinea
2. By email: [info@incentivefund.org](mailto:info@incentivefund.org)
3. In person: Level 2, Wokples Building, Savannah Heights, Stratos Avenue (off Waigani Drive), Hohola, Port Moresby

All forms, guidelines and further information can be obtained by contacting Incentive Fund:

1. In person at the above address
2. By email: [info@incentivefund.org](mailto:info@incentivefund.org)
3. By phone: (675) 325 2867

View the website for more information and news about Incentive Fund: [www.incentivefund.org](http://www.incentivefund.org)

# Annex 1

## Eligibility Criteria Checklist

You do not need to send in this form with your application. It is a checklist to determine if your organisation meets the basic eligibility criteria of the Incentive Fund before filling in the CP form.

Question	Yes	No
Does your proposal focus on one or more development priorities listed in the PNG Medium Term Development Plan, PNG's Vision 2050, PNG's National Development Strategic Plan or the PNG-Australia development priorities?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have the support of national/ provincial/ local government, the organisation's executive body, and the community for the project?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have two years of audited financial accounts (in the last four years) that have been audited by a registered independent auditor or the PNG Auditor General?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have title or appropriate long-term lease (as defined by IF4 policy) over land involved in the proposal or legal authority for the use of the land?	<input type="checkbox"/>	<input type="checkbox"/>
Is the proposed project consistent with the organisation's core activities and management?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have a good track record in managing development activities? Does this record include working with communities?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have appropriate technical expertise and experience?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have an appropriate organisational structure and staffing profile to manage and implement the scope of the proposed project?	<input type="checkbox"/>	<input type="checkbox"/>
Is the organisation registered in PNG under legislation or with an appropriate authority?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation consider gender, women's empowerment, HIV/AIDS, disability, child protection and environmental issues in its proposal? Will this project specifically empower women and girls?	<input type="checkbox"/>	<input type="checkbox"/>
Do the organisation's procurement procedures demonstrate how value for money will be achieved and are they in line with the PNG Financial Management Act?	<input type="checkbox"/>	<input type="checkbox"/>
Has the organisation obtained community agreement with the project objectives?	<input type="checkbox"/>	<input type="checkbox"/>
Can the organisation demonstrate that it has good financial management and control; that it complies with its accounting and auditing procedures; that it has no undisclosed debts, compensation demands, or tax assessments; and that it can establish a separate project bank account?	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have in place tendering and procurement procedures?	<input type="checkbox"/>	<input type="checkbox"/>
Can the organisation provide a detailed analysis of its budget and expenditures for the last two years that clearly shows the ratio of management and overhead costs to total expenditure?	<input type="checkbox"/>	<input type="checkbox"/>
If assets are created under the proposed project, will ownership of assets/ beneficial ownership of assets rest with a government body or community-based organisation?	<input type="checkbox"/>	<input type="checkbox"/>
Is the required funding within the Incentive Fund limits? (K1 million -10 million)	<input type="checkbox"/>	<input type="checkbox"/>
Is the proposed activity eligible under the Incentive Fund guidelines?	<input type="checkbox"/>	<input type="checkbox"/>

## Annex 2

### Concept Proposal application form

If an organisation is considering applying for an Incentive Fund grant, a Concept Proposal (CP) must be completed as the first stage in the application process. The purpose of the CP is to determine whether the proposed project meets the Incentive Fund's initial screening criteria (Stage 1) and the PNG and Australian Government development priorities (Stage 2). Please see Annex 3 for CP initial screening criteria.

If an application is not accepted, the Incentive Fund will provide reasons in writing. Organisations should **not** commit time and money to prepare a Detailed Proposal unless they are invited to do so by the Incentive Fund.

If a CP is found to be acceptable the Incentive Fund will write to the organisation to organise an Organisational Assessment.

Organisations should be aware that **acceptance of a CP does not guarantee funding. The preparation of the CP and any subsequent proposal development is at your own risk and expense.**

The Incentive Fund will acknowledge receipt of your application and give you an estimate of the time it will take before a decision is made on whether you will proceed to the next stage.

There are two sections to the CP application form that follow: **Section A: The Organisation** and **Section B: Concept Proposal Project Details.**

**Attachments** are also required with your CP application, as listed below Section B.

**INCENTIVE FUND  
CONCEPT PROPOSAL APPLICATION FORM**

**You must follow this format and answer all questions as thoroughly as possible.**

PLEASE ATTACH SEPARATE SHEETS IF INSUFFICIENT SPACE HAS BEEN ALLOWED.

PLEASE DO NOT SEND ANY ORIGINAL SUPPORTING DOCUMENTS.

## Section A: The Organisation

*Incentive Fund supports organisations that show they have a proven track record of service delivery and previous experience in managing similar activities, and that meet Incentive Fund criteria.*

<b>Full name of organisation:</b>	
<b>Name of main contact person:</b>	<b>Position in organisation:</b>  <b>Email:</b> <b>Telephone:</b>
<b>Name of second contact person:</b>	<b>Position in organisation:</b>  <b>Email:</b> <b>Telephone:</b>
<b>Mailing address:</b>	
<b>General telephone:</b>	<b>Facsimile:</b>
<b>General email address:</b>	

**1. What type of organisation is applying? (Place an x in one box or more)**

*Note: Only organisations that are either registered with PNG Investment Promotion Authority (IPA) or established by legislation in PNG are eligible for an Incentive Fund grant.*

- Government, or statutory authority
- Private sector organisation
- Private sector foundation
- Landowner, community or similar group
- Faith-based organisation
- Community-based organisation
- Non-government organisation
- Other; give brief details:

If registered with IPA, please state IPA No. ....

*Important Note: Private sector organisations and foundations are required to make a Counterpart Contribution. For more information see Page 5 of the Information Pack*

**2. Has the organisation previously applied for funding from the Incentive Fund?**

- Yes
- No

*If yes, please provide details.*

.....  
.....  
.....

**3. Has the organisation received an Incentive Fund grant in the past?**

- Yes
- No

*If yes, please provide details.*

.....  
.....  
.....

*Important Note: Any organisation that is a previous Incentive Fund recipient must provide a counterpart contribution of 10% for each grant already received. The total project cost in these cases should not exceed K10 million. This contribution should not be through a co-funding arrangement.*

**4. Provide a brief overview of the organisation (attach up to four (4) A4 pages). Include purpose, goals and objectives of the organisation, the budget within which it operates, organisation structure and staffing profile, legal status and governance arrangements, for example Board composition. Include a statement describing the organisation’s main source/s of funding. Include segregated data on recipients (beneficiaries) of the services your organisation has**

provided over time, for example number of girls and boys who have graduated from a school in the past four years.

.....  
.....  
.....

**5. Does the organisation have audited accounts? (Tick one and attach evidence)**

Note: Only organisations that have audited accounts are eligible for funding. Audits should be conducted by independent auditors currently registered in PNG or the PNG Auditor General's Office.

Independently audited accounts are available for two consecutive years in the last four years.

Please state years. Yr 1 \_\_\_\_\_ Yr 2 \_\_\_\_\_

Accounts available but have not been audited. **NOT ELIGIBLE**

Accounts are not available. **NOT ELIGIBLE**

**6. Does the organisation have a computerised financial management system?**

Yes

No. If currently No, please note that a computerised system will be required.

*If yes, please provide details.*

.....  
.....  
.....  
.....

**7. Does the organisation have a successful track record of managing similar development activities?**

*This question seeks to understand the organisation's experience and track record in managing relevant projects with budgets of similar size.*

No

Yes

*Please attach details of relevant projects (up to four (4) pages) managed by your organisation, including dates, name and value of project, degree of success, including outcomes of the project/s. Describe how the project/s were monitored and evaluated. Please provide details of referee/s that can be contacted to discuss the project/s.*

**8. Does the organisation have written guidelines/policies/procedures for purchasing goods and services (procurement and tendering) and ensuring value for money?**

Note: Organisations must show that they use acceptable procurement procedures to be eligible for funding. If an organisation does not currently have procedures, it will be required to document procurement procedures as part of the development of the project proposal. Please attach copy of procurement and tendering policies or procedures for purchasing goods and services.

Yes

No

**9. Does the organisation have written policies or guidelines that address issues relating to HIV/AIDS, gender equality, child protection and disability? Have these been implemented?**

*Please describe and attach relevant policies and guidelines and provide details of implementation.*

.....  
.....  
.....  
.....

**10. Can your organisation demonstrate how gender equality, women's empowerment and social inclusion activities (disability, HIV/AIDS, child protection) will be included in your project and ultimately enhance your organisation's service delivery? Will your project benefit men and women differently?**

*Please describe briefly. You are encouraged to attach an annex with more information if available.*

.....  
.....  
.....  
.....  
.....

**11. Will the project help to develop the capacity of (i) your organisation and (ii) people in the community to understand and promote gender equality, women's empowerment and social inclusion? If so, how?**

*Please describe briefly. You are encouraged to attach an annex with more information if available.*

.....  
.....  
.....  
.....  
.....

**12. How will this project specifically empower women and girls? Please outline the practical benefits that women and girls will gain from this project, in terms of (i) access to resources and services (ii) leadership and decision-making opportunities (iii) gender-based violence and (iv) women's economic empowerment.**

*Please describe briefly. You are encouraged to attach an annex with more information if available.*

.....  
.....  
.....  
.....  
.....  
.....  
.....

**13. Has the organisation sought funding for this Concept Proposal from any other organisation?**

No

Yes (provide details):

.....  
.....

**14. Provide any available information on the following:**

- The quality of current financial management, accounting and auditing procedures.
- Disclosure of debts, compensation claims, tax assessments.
- An analysis of budget and expenditure for the past two (2) years including the ratio of management and overhead costs to total expenditure.

.....  
.....  
.....  
.....  
.....  
.....

**This is the end of Section A.**

**SECTION B continues on the following page.**

# Section B: Concept Proposal Project Details

## 1. Description of the proposed project

Proposed project title	
Funding requested (approx.) (range K1-10 million)	K.....
Duration (approx.)	..... months/ years
Location (province, district, town)	
Partners: list any partners that will be involved in the project, noting any contribution they will make	

## 2. What national development priority will this project address if it is funded? (Medium Term Development Plan, sector policies/priorities, etc.)

.....

.....

.....

.....

.....

## 3. Are you seeking 100% funding?

[ ] Yes

[ ] No

*If no - where is the balance of the funding coming from?*

.....

.....

.....

**4. Attach a description of the proposed project (up to five [5] A4 pages). You should address the following points:**

- Goal and intended outcomes of the proposed project.
- Consistency of the project with the organisation's normal activities.
- What change the project is intended to achieve and for whom. Who will benefit from the project?
- Why is the project needed? What are the issues that the project will address? What problem is the project expected to solve?
- List and describe all major activities to be undertaken, divided into the major project components.
- Provide an estimated budget and timeline for each component, noting the project management cost policy. List the major procurement items.
- Support from relevant national or provincial government or authority/ sector agencies (provide evidence that consultations have occurred with district or provincial governments about the proposal). Attach letters of support from appropriate national and provincial and/or sector departments, addressing local development priorities where relevant.
- What is the community attitude to the project and how has this been assessed?
- Who was involved in developing the project concept? Have women participated in developing the project concept? Were issues in relation to women and girls considered in developing the project proposal?
- The general nature and scale of construction activity (e.g. primary schools, primary health clinic, markets).
- A brief description of the local environment including local topography and natural drainage (note any streams or rivers close by), local vegetation or land-uses (gardens, roads and other infrastructure), and the use of local resources such as streams or rivers for domestic purposes.
- Have people with a disability or any accredited disability organisation been consulted in the development of this proposal and were the needs of people with a disability considered? Will your project enable active participation and contributions by people with disabilities (for example, inclusive education and accessible infrastructure)?
- Does the project consider how to deal with issues for people living with HIV/AIDS, in particular how to avoid negative outcomes for those people and for others?
- Have policy or activities related to child protection been discussed?
- Who will be responsible for managing implementation of the project? List skills and experience.
- How does the organisation intend to ensure the project is sustainable after funding from the Incentive Fund ceases? For example, how will recurrent costs be met?
- What lessons have you drawn on from past experience when developing this Concept Proposal?

**Include any other information you feel may help us understand the project.**

**5. To determine the likelihood of significant environmental impact, please indicate:**

**Whether the proposed project site and the area around it (up to 2km from the site) will impact on:**

- land protected by law (such as National Parks or other Protected Areas)
- animals or plants that are protected by law, or considered rare or endangered
- the site of significant cultural, traditional, historical or archaeological features or events
- none of the above
- don't know

**Whether the proposed project activities will involve:**

- generation of hazardous wastes (e.g. asbestos) which are dangerous to human health and safety, and which require special handling or treatment
- depositing of waste or discharge of untreated sewage, or wastewater contaminated with oils or chemicals into natural surface waters, coastal waters, ground-waters, or areas used by communities such as garden areas
- draining of lakes, ponds, wetlands, swamps, bogs or coastal lagoons
- cutting, felling or removal of swamp forest or mangroves
- excavation, removal or the risk of physical damage to coral reefs
- none of the above
- don't know

***If any of these activities apply to your proposed project, please provide as much detail as possible in your project description.***

You are advised that if any of the above applies to your proposed project, you may be required to apply to the Conservation and Environmental Protection for an Environment Permit or Approval to carry out the activity.

6. If your project involves activities where land is required e.g. infrastructure, farming etc., please provide evidence of land ownership details for all sites involved. Tick the appropriate box (providing detail separately, if necessary).

Note: The Incentive Fund can only support projects involving land if the applicant organisation has secure land title, long-term lease (accepted as a traditional 99-year lease where land ownership reverts to GoPNG; generally, sub-leases are not acceptable) or legally-registered land-use agreement.

**Government land**

i. Do you have the land documents from the PNG Department of Lands and Physical Planning that record the original government acquisition from the traditional owners, and the compensation paid?

Yes (Please attach copies of land title documents: DO NOT SEND ORIGINALS.)

No

ii. Do you have a certificate authorising occupancy (CAO) of land or other authority?

Yes (Please attach copy of CAO)

No

**Leasehold land**

i. Give details of the owner (lessor) and the lessee.

(Please attach copies of land title documents: DO NOT SEND ORIGINALS.)

.....  
 .....  
 .....

ii. What type of lease has been issued? (Is it a private commercial lease, or a Special Purpose Lease from the Government, or some other sort of lease?)

.....

iii. If your lease is for a specific purpose, please state that purpose.

.....  
 .....

What is the term (duration) of the lease? .....

iv. When did the lease commence? .....

**Freehold land**

The title document is available to confirm ownership of the land. (Please attach copies. DO NOT SEND ORIGINALS.) The land was purchased in ..... (date of acquisition).

**This is the end of Section B.**

**Attachments required to the CP application include:**

- Brief overview of the organisation (up to four (4) A4 pages)
- Evidence of two years of independently audited accounts, including any qualifications
- Details of relevant projects (up to four (4) A4 pages) managed by your organisation, including dates, degree of success, outcomes of the project and description of how the project/s was/were monitored and evaluated. Please provide details of referee/s that we can contact to discuss the project/s
- Copy of procurement policies or procedures for purchasing goods and services
- If the organisation has them, please attach relevant policies or guidelines that address issues relating to HIV/AIDS, gender equality, child protection, disability or environmental management issues
- Description of the proposed project, including the following (up to five (5) A4 pages):
- Government land – Copy of land documents from the PNG Department of Lands and Physical Planning that record the original Government acquisition from the traditional owners and the compensation paid. (DO NOT SEND ORIGINALS)
- Freehold land - Copy of the title document to confirm ownership of the land. (DO NOT SEND ORIGINALS)
- Letters of support/evidence from relevant national or provincial government.

**Date of Concept Proposal submission**

...../...../ 20.....

Signed: .....

Name: .....

Position in the organisation: .....

## Annex 3

### Concept Proposal Criteria for Gateway screening

You do not have to submit the table below. It is for your own use, to assist in the development of your Concept Proposal by providing information on the compliance requirements for organisations that are being considered for a grant.

#### Criteria for Stage 1: Gateway Screening

No.	Compliance Requirement	Yes/No
<b>1. Funding</b>		
1.1	Is the level of funding requested between K1 million and K10 million?	
1.2	Has the organisation received previous IF funding?	
1.3	Is there any counterpart funding?	
1.4	Duration of proposed project	
<b>2. Accounting records</b>		
2.1	Has the organisation provided evidence of two consecutive years of accounts in the last four years, audited by an independent registered auditor?	
2.2	Are these accounts free of any major critical qualifications by the auditor?	
2.3	Does the organisation run an acceptable computerised accounting system and an appropriate chart of account?	
2.4	Do these accounts confirm that the organisation is viable, or that deficits if they exist will be covered by other sources of funding?	
<b>3. Land title</b>		
3.1	Does the proposal identify appropriate long-term land titles or land use agreements for all structures and facilities created by or modified by the program?	
<b>4. Registrations and affiliations</b>		
4.1	Is the organisation registered in PNG, or incorporated under PNG law?	
4.2	Does the organisation have Rules or Articles of Association that provide for executive minutes, accounting and auditing obligations, distribution of surpluses, dealing with misconduct, etc.?	
<b>5. Management track record</b>		
5.1	Does the organisation have a good track record of managing projects and experience in managing relevant activities with comparable size and budgets?	

5.2	Does the organisation have evidence of policies and procedures for tendering and procurement? (A 'no' response does not disqualify their application, but these will be required at proposal development stage)	
<b>6. Concept Proposal checklist</b>		
6.1	Has the Concept Proposal been submitted using the standard IF application form?	
6.2	Have letters of support been provided from appropriate national and provincial authorities and/or sectors?	
<b>7. Ownerships of assets created by project</b>		
7.1	Will beneficial ownership of assets created by the project rest with public or community organisations?	
7.2	Have sustainability issues (income vs expenditure, etc.) been analysed?	
<b>8. Social inclusion</b>		
8.1	Does the organisation have an understanding of policies and practice in Social Inclusion Policies (Gender Equality, Child Protection, Disability, HIV/AIDS)?	
8.2	Demonstrate how Social Inclusion activities will be included in the project.	
8.3	Will the project develop the capacity of the organisation to address Social Inclusion?	
8.4	How will the project empower women and girls?	
<b>9. Environmentally significant activities</b>		
9.1	Does the concept paper indicate that the project may have significant environmental impact (has the Eligible Organisation answered "Yes" to any section of Question 5 in the Concept Paper)?	