



The Secretariat of the African, Caribbean and Pacific
Group of States (ACP Secretariat)

ACP Science and Technology Programme¹

Guidelines for Grant Applicants

Open Call for Proposals - 2008

**9th European Development Fund
and
Budget line 21.031700**

Reference: EuropeAid/127860/D/ACT/ACP

Deadline for submission of applications: **27 February 2009**

¹ (formerly called Programme for Science and Technology Innovations and Capacity Building – PSTICB)

NOTICE

Please read these Guidelines for Grant Applicants with all due care in order to complete the Grant Application Form (see Annex A).

Please note that an evaluation of your **Full Application Form** (Part B of the Grant Application Form) will only be performed if your **Concept Note** (Part A of the Grant Application Form) is provisionally selected. Hereafter, the eligibility conformity check will only be performed for those proposals that have been provisionally selected according to the score obtained after the complete evaluation, on the basis of: (a) the supporting documents requested by the ACP Secretariat and (b) the Declaration by the Applicant (Section VI of Part B of the Grant Application Form) signed and sent together with the application.

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DEFINITIONS

ACP	African, Caribbean and Pacific.
Action <i>or</i> Project	The set of activities the partnership proposes to carry out.
Applicant	The lead institution within the partnership that submits the proposal and, if the proposal is selected, signs the grant contract.
Associate	Organisation that has a real role in the Action but cannot receive funding from this Programme, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. The associates have to be mentioned in Part B Section IV of the Grant Application Form ('Associates of the Applicant participating in the Action').
AU	African Union.
Beneficiary	The Applicant as the contracting party with whom a grant contract will be signed, if the proposal is selected.
BUDGET	The European Communities general budget.
EC	European Community.
EDCTP	The European & Developing Countries Clinical Trials Partnership.
EDF contribution	The amount of EDF grant the partnership requests. It cannot exceed 85% of the total eligible costs and must be comprised within the minimum and maximum amounts specified in Section 1.3.
EDF	European Development Fund.
EEA	European Economic Area.
EFTA	European Free Trade Association.
Established ACP Science and Technology network	A consortium of organisations existing prior to submitting an application and fulfilling the following criteria: <ul style="list-style-type: none">- all network members and the network headquarters are located in eligible countries;- the network has a legal status;- the network is applying in its own right; and- the network has been registered for a minimum of two years
EU	European Union.
FP7	Seventh Framework Programme for research and technology development.
INCO	International Cooperation.
NEPAD	New Partnership for Africa's Development.
OCT	Overseas Countries and Territories.
Own contribution	The part of the total eligible costs funded from the Applicant's or partners' own resources, or from sources other than the budget of the European Community or the European Development Fund, subject to the specifications of Section 2.1.4.
Partner	The institution - other than the Applicant – that is a member of the partnership.
Partnership	The grouping of institutions, i.e., the Applicant and its partners, constituted for the purpose of submitting an application and, if successful, for implementing the Action. It does not have to exist previously, and its constitution has to be demonstrated by the signed 'Partnership Statements' required under Section III of the Grant Application Form.
S&T	Science and Technology
SADC	Southern African Development Community.

Subcontractors	The grant beneficiaries have the possibility to award contracts to subcontractors for necessary limited parts of the Action they cannot execute themselves, e.g., the supply of products, execution of works, or provision of services. They are neither partners nor associates, and are subject to the General Conditions and the Procurement Rules set out in the Annexes II and IV to the standard Grant Contract (see Annex F of these Guidelines).
Total eligible costs	The sum of the EDF (and/or Budget) contribution and own contribution, subject to the specifications of Section 2.1.4.
UNESCO	United Nations Educational, Scientific and Cultural Organization

Other terms used in the present Guidelines are defined in the glossary to the *'Practical Guide to Contract procedures for EC external actions'* which is available at the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/documents/execution/edf_general/edf_alglossary_en.doc

1. ACP SCIENCE AND TECHNOLOGY PROGRAMME

1.1 BACKGROUND

The ACP Science and Technology Programme² originates from the need of a joint and systematic ACP-EU (African Caribbean and Pacific – European Union) approach in the field of research and innovations and responds to the conclusions of the 2002 Cape Town ACP Ministerial Forum on Research and the Johannesburg World Summit on Sustainable Development (WSSD). Developed in the context of the ‘*EC’s Strategy for Sustainable Development*’, it will contribute to achieving the Millennium Development Goals 1, 7 and 8 by targeting poverty eradication, focusing on building and enhancing strong scientific and technological capacity to support research, development and innovation in the ACP region, and enabling the identification and formulation of activities or policies that are critical to sustainable development.

To be successful, the Programme has to facilitate the creation or strengthening of frameworks for regional and sub-regional co-operation and of inter-institutional co-operation in the ACP region in the field of science and technology. As such, it is linked to the Education and Training and Poverty Reduction initiatives of the European Parliament and Council (July 2001 and March 2002), and the Development Council resolution of 30 May 2002. The ACP Science and Technology Programme is also consistent with ‘*The European Consensus on Development*’ (2005) and the ‘*Africa-EU Strategy Partnership*’. In the context of this latter partnership (endorsed at the EU-Africa Summit in Lisbon, December 2007), a Joint EU-Africa Strategy has been adopted, on the basis of which a ‘First Action Plan 2008-2010 for the implementation of the Africa-EU strategic partnership’ has been developed. It identifies 8 Africa-EU Partnerships, of which one is on ‘science, information society and space’. It addresses a number of priority actions: a) Support the development of an inclusive information society in Africa; b) Support Science and Technology Capacity Building in Africa and Implement Africa’s Science and Technology Consolidated Plan of Action; and c) Enhance co-operation on space applications and technology.

Furthermore, the Programme is complemented by other EC (European Community) funded initiatives, such as the ‘*Erasmus Mundus*’, and by the EC research programmes ‘*International Cooperation (INCO)*’ and ‘*The European & Developing Countries Clinical Trials Partnership (EDCTP)*’.

The Programme has also been developed in the context of other initiatives with similar objectives, such as *EDULINK*, European initiatives in Water and Energy, the ‘*Seventh Framework Programme for research and technology development (FP7)*’, the ‘*Africa’s Science and Technology Consolidated Plan of Action*’ of the African Union / New Partnership for Africa’s Development - AU/NEPAD - (August 2005), the United Nations Educational, Scientific and Cultural Organization (UNESCO) supported ‘*Action Plan on Higher Education in Africa*’ and SADC bilateral co-operation programmes.

The origin of this Programme is based on the conviction that one of the requirements for an effective fight against poverty in the ACP countries is the **application of knowledge gained from Science and Technology (S&T)**, both on a local as on a regional level. Any systematic approach to an improved science and technology capacity and towards applying its results and recommendations is a national and regional task. Therefore, any framework for action needs to be defined by appropriate S&T policies which more than likely differ from country to country. Nevertheless, in order for S&T policies to be successful in contributing to a fight against poverty, their identification, formulation, implementation and evaluation should involve a rather broad group of concerned actors: government and policy makers, academic

² The name formerly used was ‘Programme for Science and Technology Innovations and Capacity Building’ – PSTICB.

institutions, centres of excellence, private sector and civil society. Here is where the ACP Science and Technology Programme comes in. Whereas the national governments are obviously responsible for the S&T policies, the ACP Science and Technology Programme provides an opportunity for the above mentioned actors (governmental institutions and agencies, policy makers, academia, centres of excellence, private sector and civil society) to strengthen their capacity to play their distinctive roles in this process: to be able to *address development needs*, to *design appropriate instruments* for collaborative research and to *manage the research capacity* in the country concerned. This is why the **focus** of the Programme is **on the ACP countries, their institutions and actors** (different from, yet complementary to programmes, such as FP7) and the strengthening of the **networking of ACP institutions in a given country and in a region** as a whole to benefit from a complementation of the different points of views, capacities and experiences. The ACP Science and Technology Programme is, therefore, not limited to a particular kind of institution like for instance Higher Education Institutions (as is the case of EDULINK). It has a very **practical approach** to the most urgent development needs as defined in previous policy documents, such as the '*Cape Town Declaration on Research for Sustainable Development*'. This is why the ACP Science and Technology Programme expects to receive proposals in the fields of quality health care, environmental research activities, energy, transport, agriculture and agro-industry, as well as sustainable trade. The ACP Science and Technology Programme is not limited to one area, but encompassing all 79 ACP Member States and the modalities of its execution reflect the **partnership for development that marks the new relationship between the European Union and the ACP Member States**. One concrete expression of this EU-ACP partnership is the fact that different from (and complementary to) other sectoral EU initiatives in similar fields, this Programme is being implemented by the ACP Secretariat directly in a decentralized ex ante management mode.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **overall objective** of the ACP Science and Technology Programme is to support ACP countries in formulating and implementing science and technology policies that can lead to sustainable development and to poverty reduction through economic growth and progressive integration in the world economy.

The **purpose** of the Programme is to strengthen the internal science and technology capacity of ACP countries at three levels:

- Institutional, administrative and policy making levels.
- Academic research and technology.
- Business and civil society.

The Programme emphasizes the promotion of interdisciplinary approaches to sustainable development along three main axes, to achieve five results:

- Co-ordination and networking in applied research (Axis 1).
 - Result 1: Networks established or consolidated at intra ACP-level with linkages to international networks.
 - Result 2: Increased capacity to assess research needs to facilitate the formulation and implementation of research policies.
- Instruments for collaborative research (Axis 2).

Result 3: Increased capacity and incentives to research network partners to prepare and submit project proposals to funding

- Management of research activities and reinforcement of research quality (Axis 3).

Result 4: Research results better capitalized and disseminated.

Result 5: Quality of research results improved.

In order to facilitate the monitoring of the Programme's impact, Applicants should clearly specify in Part B Section I.1.6 of the Grant Application Form for which axis or combination of axes they are applying.

The Programme will fund projects which primarily focus on quality health care, environmental research activities, energy, transport, agriculture and agro-industry, and sustainable trade. More details of these focus areas are given in Section 2.1.3 of these Guidelines.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE ACP SECRETARIAT

Indicative allocation of funds by lot

For this Call for Proposals, an indicative amount of EUR 28.000.000 is made available from the 9th EDF and an indicative amount of EUR 5.000.000 is made available from budget line 21.03.17 'European Programme for Reconstruction and Development'. The overall indicative amount made available under this Call for Proposals is, therefore, EUR 33.000.000. The ACP Secretariat reserves the right not to award all available funds.

This Call for Proposals is divided into 2 Lots, one for each of the above mentioned funding sources, with different eligibility criteria for the applicants and partners, but identical objectives, results and activities:

- **Lot 1 – EDF** – concerns the EUR 28.000.000 EDF (European Development Fund) contribution.
- **Lot 2 – BUDGET** – concerns the EUR 5.000.000 EC budget line 21.03.17 contribution.

Information on the eligibility of applicants, their partners, types of actions and costs, is provided in Section 2.1.

Applicants have to clearly specify in the first page of the Grant Application Form for which lot they are applying. Each proposal may be submitted under only one lot.

In the case where the financial allocation foreseen for one of the lots cannot be fully used due to insufficient quality or number of proposals received, the ACP Secretariat reserves the right to transfer proposals from one lot to the other under the condition that all eligibility criteria are met.

Size of grants (for both lots)

A grant awarded under this Programme must fall between the following minimum and maximum amounts:

- minimum amount: EUR 350.000
- maximum amount: EUR 1.000.000

In exceptional cases, the maximum amount for project grants can reach up to EUR 3.000.000. Applications are considered exceptional cases whenever the Action proposed for financing concerns at least four of the six ACP regions³ and contributes to the formulation and implementation of regional, interregional or intraregional science and technology policies, or whenever the Applicant is a regional or inter-state body as defined in Section 2.1.1.1 for Lot 1 – EDF under heading (1) (d) and Section 2.1.1.2 for Lot 2 – BUDGET under heading (1) (d).

Grants may be awarded up to the maximum of 85 % of the total eligible costs of the Action (see also Section 2.1.4). The balance must be financed from the Applicant's or partners' own resources, or from sources other than the European Community budget or the European Development Fund.

³ Eastern Africa, Central Africa, Western Africa, Southern Africa, Caribbean and Pacific. The composition of these regions is further detailed in Section 2.1 of these Guidelines.

2. RULES FOR THIS CALL FOR PROPOSALS

These Guidelines set out the rules for the submission, selection and implementation of Actions financed under this Call for Proposals, in conformity with the provisions of the 'Practical Guide to Contract procedures for EC external actions', which is applicable to the present call (available on the Internet at this address:

http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/documents/new_prag_final_en.pdf.

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- **Applicants** - which may request a grant (Section 2.1.1), and their partners (Section 2.1.2),
- **Actions** - for which a grant may be awarded (Section 2.1.3),
- **Types of cost** - which may be taken into account in setting the amount of the grant (Section 2.1.4).

2.1.1 <i>Eligibility of Applicants: who may apply?</i>
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Eligibility of Applicants under 'Lot 1 – EDF' respects the rules applicable for EDF funding, while eligibility of Applicants under 'Lot 2 – Budget' respects the rules applicable for budget line 21.03.17.

2.1.1.1 Lot 1 – EDF

(1) In order to be eligible for a grant under Lot 1 - EDF, Applicants must meet all of the following criteria:

- be legal persons **and**
- have at least a three-year record of activities in the formulation and/or implementation of activities in research and science and technology, for which they will have to provide the relevant legal documents **and**
- be directly responsible for the implementation of the Action with their partners, not acting as an intermediary **and**
- be able to demonstrate their experience and capacity to manage activities corresponding in scale and complexity to those for which a grant has been requested **and**
- have stable and sufficient sources of finance to ensure the continuity of their organisation throughout the Action **and**
- belong to one of the following categories:
 - (a) ACP national or regional science and technology organizations, research institutions, universities, government ministries or public institutions dealing with

research policies, ACP national research networks, relevant civil society or private sector actors⁴ or similar EU actors working in partnership with ACP counterparts; or

- (b) Regional science and technology institutions, with separate legal status, not belonging to any national system but formally recognised by one of the eligible countries; or
 - (c) Established ACP science and technology networks⁵ provided that: all network members and the network headquarters are located in eligible countries; the network has a legal status; the network is applying in its own right; and the network has been registered for a minimum of two years.⁶
 - (d) The Commission of the African Union and regional or inter-State bodies⁷ to which one or more ACP States belong, including bodies with non-ACP State members, which are authorised by those ACP States; **and**
- be nationals⁸ of one of the 79 ACP States or one of the 27 Member States of the European Union. This obligation does not apply to international organisations

Institutions from Cuba and the Overseas Countries and Territories (OCT) may only participate in projects as associates, and cannot be final beneficiaries of the project from EDF funds.

(2) Applicants will not be awarded grants if:

- they are in any of the situations which are listed in Section 2.3.3 of the *'Practical Guide to Contract procedures for EC external actions'* available from the following Internet address:
http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/documents/new_prag_final_en.pdf

In Part B Section VI of the Grant Application Form ('Declaration by the Applicant'), Applicants must declare that they do not fall into any of these situations.

⁴ The Applicant accepts that the grant can under no circumstances result in a profit for himself and/ or the partners and that the grant must be limited to the amount required to balance income and expenditure for the action. Profit shall be defined as a surplus of receipts over the costs of the Action in question. Eligibility of private sector actors/ profit making institution will be assessed on a case-by-case basis and will be only accepted if fully justified by the Applicant. In case a profit-making institution is accepted as a partner within a selected proposal, the members of the partnership will have to sign a memorandum of understanding, clearly stating that funds awarded by the Programme shall not be used for profit-making activities.

⁵ This section should be read in conjunction with Section 2.1.2 'Composition of Partnerships', especially the first bullet point.

⁶ Where a network acts as an Applicant, it must be able to enter into contractual and financial obligations with the ACP Secretariat.

⁷ This section should be read in conjunction with Section 2.1.2 'Composition of Partnerships', especially the first bullet point.

⁸ Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the internal law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if they are registered locally or accompanied by a 'Memorandum of Understanding'.

2.1.1.2 Lot 2 – BUDGET

(1) In order to be eligible for a grant under Lot 2 – Budget, Applicants must meet all of the following criteria:

- be legal persons **and**
- have at least a three-year record in the formulation and/or implementation of activities in research and science and technology development, for which they will have to provide the relevant legal documents **and**
- be directly responsible for the implementation of the Action with their partners, not acting as an intermediary **and**
- be able to demonstrate their experience and capacity to manage activities corresponding in scale and complexity to those for which a grant has been requested **and**
- have stable and sufficient sources of finance to ensure the continuity of their organisation throughout the Action **and**
- belong to one of the following categories:
 - (a) ACP national or regional science and technology organizations, research institutions, universities, government ministries or public institutions dealing with research policies, ACP national research networks, relevant civil society or private sector actors⁹ or similar EU actors working in partnership with ACP counterparts; or
 - (b) Regional science and technology institutions, with separate legal status, not belonging to any national system but formally recognised by one of the eligible countries; or
 - (c) Established ACP science and technology networks¹⁰ provided that: all network members and the network headquarters are located in eligible countries; the network has a legal status; the network is applying in its own right; and the network has been registered for a minimum of two years.¹¹
 - (d) The Commission of the African Union and regional or inter-State bodies¹² to which one or more ACP States belong, including bodies with non-ACP State members, which are authorised by those ACP States; **and**
- be nationals¹³ of one of the 79 ACP States, one of the 27 Member States of the European Union, one of the 3 European Economic Area (EEA) / European Free Trade

⁹ The Applicant accepts that the grant can under no circumstances result in a profit for himself and/ or the partners and that the grant must be limited to the amount required to balance income and expenditure for the action. Profit shall be defined as a surplus of receipts over the costs of the Action in question. Eligibility of private sector actors/ profit making institution will be assessed on a case-by-case basis and will be only accepted if fully justified by the Applicant. In case a profit-making institution is accepted as a partner within a selected proposal, the members of the partnership will have to sign a memorandum of understanding, clearly stating that funds awarded by the Programme shall not be used for profit-making activities.

¹⁰ This section should be read in conjunction with Section 2.1.2 ‘Composition of Partnerships’, especially the first bullet point.

¹¹ Where a network acts as an Applicant, it must be able to enter into contractual and financial obligations with the ACP Secretariat.

¹² This section should be read in conjunction with Section 2.1.2 ‘Composition of Partnerships’, especially the first bullet point.

¹³ Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the internal law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if they are registered locally or accompanied by a ‘Memorandum of Understanding’.

Agreement (EFTA) Member States or one of the official EU candidate countries. This obligation does not apply to international organisations.

Institutions from Cuba and the Overseas Countries and Territories (OCT) may only participate in projects as associates, and cannot be final beneficiaries of the project from the Budget funds.

(2) Applicants will not be awarded grants if:

- they are in any of the situations which are listed in Section 2.3.3 of the ‘*Practical Guide to Contract procedures for EC external actions*’ available from the following Internet address:
http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/documents/new_prag_final_en.pdf

In Part B Section VI of the Grant Application Form (‘Declaration by the Applicant’), Applicants must declare that they do not fall into any of these situations.

2.1.1.3 Overview of Differences between Lot 1 – EDF and Lot 2 – Budget and List of eligible countries and composition of regions

Eligible nationality¹⁴ for Applicants and partners

	Lot 1 – EDF (28 M€)	Lot 2 – Budget (5 M€)
79 ACP States (Table A)	✓	✓
27 EU Member States (Table B)	✓	✓
EEA / EFTA countries (Table C)		✓
Official EU Candidate countries (Table D)		✓
	Applicants must operate with a partnership that must involve at least three organisations from at least two different ACP Member States. The number of non-ACP partners in a partnership cannot be greater than the number of ACP partners.	

Table A: The 79 African, Caribbean and Pacific Member States divided into the six regions eligible under Lot 1 and 2

Eastern Africa Burundi Comoros Djibouti Eritrea Ethiopia Kenya Madagascar Mauritius Rwanda Seychelles Somalia Sudan Tanzania Uganda	Central Africa Cameroon Central African Rep. Chad Congo Democratic Rep. of Congo Equatorial Guinea Gabon Sao Tome & Principe	Western Africa Benin Burkina-Faso Cape Verde Côte d'Ivoire Gambia Ghana Guinea Guinea Bissau Liberia Mali Mauritania Niger Nigeria Senegal Sierra Leone Togo
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¹⁴ Other eligibility criteria apply. Refer to Section 2.1.1 of the Guidelines for Grant Applicants.

Southern Africa	Caribbean	Pacific
Angola	Antigua and Barbuda	Cook Islands
Botswana	Bahamas	Fiji
Lesotho	Barbados	Kiribati
Malawi	Belize	Marshall Islands
Mozambique	Cuba ¹⁵	Micronesia
Namibia	Dominica	Nauru
South Africa	Dominican Republic	Niue
Swaziland	Grenada	Palau
Zambia	Guyana	Papua New Guinea
Zimbabwe	Haiti	Samoa
	Jamaica	Solomon Islands
	Saint Kitts and Nevis	Timor Leste
	Saint Lucia	Tonga
	Saint Vincent and Grenadines	Tuvalu
	Suriname	Vanuatu
	Trinidad and Tobago	

Table B: 27 EU Member states eligible under Lots 1 and 2

Austria	Germany	Poland
Belgium	Greece	Portugal
Bulgaria	Hungary	Romania
Cyprus	Ireland	Netherlands
Czech Republic	Italy	Slovakia
Denmark	Latvia	Slovenia
Estonia	Lithuania	Spain
Finland	Luxembourg	Sweden
France	Malta	United Kingdom

Table C: 3 EEA EFTA states eligible under "Lot 2 – Budget" only

Iceland	Liechtenstein	Norway
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Table D: 3 official EU candidate countries eligible under "Lot 2 – Budget" only

Croatia	Former Yugoslav Rep. of Macedonia	Turkey
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2.1.2 Partnerships and eligibility of partners

Partnerships

The Applicant will act as the lead organisation in a partnership and, if selected, as the 'Beneficiary'.

Applicants must operate within a partnership and act with partner organisations as specified hereafter.

¹⁵ Institutions from Cuba may only participate in projects as associates, and cannot be final beneficiaries of the project.

Composition of partnerships

Partnerships must involve at least three organisations from at least two different ACP Member States. The number of non-ACP partners in a partnership **cannot** be greater than the number of ACP partners. There is no upper limit on the number of members in a partnership. However, a partnership should be composed in such a way as to allow for the achievement of project objectives in the most efficient manner.

Please note that for both lots the following applies:

- 'Established ACP science and technology networks' and 'regional or inter-state bodies organisations' mentioned under Section 2.1.1.1 (lot 1 - EDF) under (1) (c) and (d) and Section 2.1.1.2 (lot 2 - Budget) under (1) (c) and (d) are considered partnerships in themselves and, therefore, do not have to form alliances with other organisations for the purpose of this Programme. However, in the case of networks they have to be multinational.
- Applications submitted by partnerships where the lead institution is an ACP Member State or by partnerships composed exclusively of ACP partners will be given preference over partnerships not fulfilling these criteria if at a certain stage of the evaluation process they receive the same scores.

Partners

Applicants' partners participate in designing and implementing the Action. Each member of a partnership must have a precise and clearly identified role in the planning and execution of the project activities. The role of each partnership member institution must be clearly explained in the proposal. Even though the ACP Secretariat will conclude the contract with the Applicant only, all partners should actively participate and contribute at different stages of the implementation of the project. The Applicant and its partners should draw up an agreement defining the technical and financial rights and obligations of each partnership member. A clear written allocation of tasks and responsibilities and a balanced distribution of costs will contribute to the partnership's success. Such an agreement will be an internal document of the partnership and **not** part of the application.

The costs the partners incur are eligible in the same way as those incurred by the Beneficiary of the grant referred to in Section 2.1.4 below.

The partners must satisfy the same eligibility criteria as Applicants referred to in Section 2.1.1 (2.1.1.1 for Lot 1 – EDF and Section 2.1.1.2 for Lot 2 – Budget) above. Proposals, which fail to comply with these principles, will be rejected by the Evaluation Committee.

Institutions from Cuba and the Overseas Countries and Territories (OCT) may only participate in projects as associates, and cannot be final beneficiaries of the project.

The following institutions are not considered partners and, therefore, do **not have to sign the 'Partnership Statement'** (Part B Section III.2 of the Grant Application Form):

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. The associates have to be mentioned in Part B Section IV - "Associates of the Applicant participating in the Action" of the Grant Application Form.

- Subcontractors

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

The applicant will act as the lead organisation and, if selected, as the contracting party (the "Beneficiary").

2.1.3 <i>Eligible Actions: Actions for which an application may be made</i>

Duration

The planned duration of an Action may not be less than 12 months nor exceed 36 months. Only eligible costs incurred during this period will be recognized for funding. All Actions have to be completed by the deadline of 31 December 2012.

Sectors or themes

The ACP Science and Technology Programme will fund projects which primarily focus on:

- **Quality health care:** with special attention both to traditional and biodiversity dependent community medicines and to the developments taking place in biotechnology.
- **Environmental research activities:** addressing climatic variability, loss of biodiversity, deforestation, desertification and rising sea levels, as well as issues associated with upgrading and mainstreaming appropriate indigenous technology and establishing efficient mechanisms for access to and the adaptation of appropriate foreign technology.
- **Energy:** with special attention to renewable sources of energy such as solar, wind, hydro and biomass energy.
- **Transport:** addressing transport congestion, air pollution and accidents.
- **Agriculture and agro-industry:** addressing food productivity and security, adding value to agro-products and encouraging a stronger participation by farmers in production and post-harvest management.
- **Sustainable trade:** in order to increase investments, encourage development in the private sector and improve the trading capacity of ACP countries. Attention will be given to the socio-economic impact of international trade agreements and protocols on sustainable development in ACP countries.

Location

Lot 1 - EDF

Actions should mainly take place in one or more of the 79 ACP Member States mentioned in Section 2.1.1. If part of the Action takes place in the 27 EU Member States, Cuba or the Overseas Countries and Territories (OCTs), **the final beneficiaries must still be the ACP Member State/s (with the exception of Cuba).**

Lot 2 - Budget

Actions should mainly take place in one or more of the 79 ACP Member States mentioned in Annex I. If part of the Action takes place in the 27 EU Member States, the 3 EEA EFTA States or the 3 EU Candidate countries, Cuba or the Overseas Countries and Territories (OCTs), **the final beneficiaries must still be the ACP Member State/s (with the exception of Cuba).**

Types of Action

The three types of Action – referred to as Axes under this Programme – which may be financed under this Call for Proposals must relate to the Programme's overall objectives, purpose and expected results specified in Section 1.2. It is possible to select either one type or a combination of types of Action, but they should always address one or more of the corresponding project activities outlined hereafter. This listing is not exhaustive, but intends to give an indication of the types of activities that partnerships can undertake:

1. Support to Co-ordination and networking in applied research (Axis 1):

- ***Promotion and strengthening of networks*** inter-linking research institutes, researchers, civil society, business sectors and policy makers as well as 'Centres of Excellence', science and technology consortia.
- ***Establishment of research frameworks*** with the aim of achieving a greater and more market-oriented use of ACP research resources.
- ***Multi-stakeholder in-depth assessments of research and innovation needs*** in science and technology at regional and sub-regional levels and the design of dynamic databases indicating available expertise.
- ***Organisation of public debates and consultations on research needs*** in relation with indigenous knowledge and interests (surveys, focus groups, citizens' debates, etc.), incl. capacity building for civil society groups on research issues.

2. Support to Instruments for collaborative research (Axis 2):

- ***Establishment or consolidation of intra ACP advisory or observatory bodies*** on research and innovation for sustainable development in order to collect, share and analyze information on the latest developments in science and technology and their potential applications and provide advice to the policy makers and relevant science and technology non-state actors.
- ***Definition and implementation of technical instruments:*** designing tax incentives for firms engaged with universities and research institutions, review and strengthening of legislation relating to property rights, etc.
- Benchmarking good practices and designing 'models of research instruments' in order to promote the best ***modalities of industry-academia links and co-operation.***

3. Support to Management of research activities and reinforcement of research quality (Axis 3):

- Definition and promotion of ***peer review and evaluation procedures and indicators*** in order to increase quality and efficiency in regional and national science and technology programmes.

- Implementation of multi-stakeholder activities (publications, database building, ICT development, information management, consulting, seminars, short-term training, etc.) in order *to capitalize, disseminate and implement knowledge and innovations* (the results of research), incl. targeted communication and debates with civil society groups concerned.
- Organisation of short-term training sessions at regional, sub-regional and country levels in order *to strengthen and upgrade the competences of the scientific community* in the following areas: research methods, research fund management, research managerial capacities, etc.

In the description of the project activities, the choice of the activities, the role of each partner, and the related costs must be clearly justified.

In addition, visibility actions (budget line 5.8 of Annex B.1, ‘Budget for the Action’) must be detailed in the application form, comply with Article 6 of the Standard Contract General Conditions, as well as with the ‘*Communication and Visibility Manual for EU External Actions*’ (http://ec.europa.eu/europeaid/work/visibility/index_en.htm), and be kept at a reasonable level, in line with the principle of proportionality.

The following types of Action are not eligible:

- Actions that conflict, either directly or indirectly, with the policies of the European Union or which may be linked with a prejudicial image.
- Actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses, etc.
- Actions concerned only or mainly with individual scholarships for studies or training courses.
- Research and Development activities.

Number of proposals and grants per Applicant

In order to provide an equal opportunity to the widest number of eligible applicants to participate in this Call for Proposals, an applicant may submit up to three proposals with the same partner institution(s). In addition, where appropriate, an applicant may submit only one application for a requested grant amount which is more than EUR 1.000.000 (available under exceptional cases as defined under Section 1.3 ‘Size of grants’).

An Applicant cannot submit the same application under different lots.

However, an Applicant may submit proposals of a different nature under different lots.

An Applicant may be awarded more than one grant under this Call for Proposals, provided that it has the required managerial and financial capacity (please refer to the selection criteria indicated in Section 2.3).

2.1.4 <i>Eligibility of costs: costs which may be taken into consideration for the grant</i>
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Only ‘eligible costs’ can be taken into account for a grant. These are detailed below. The budget is, therefore, both a cost estimate and a ceiling for ‘eligible costs’. Note that the

eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance, arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the ACP Secretariat to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of co-financing as a result of these corrections may not be increased in any case.

It is, therefore, in the Applicant's interest to provide a **realistic and cost-effective budget**.

Eligible direct costs

To be eligible under this Call for Proposals, costs must respect the provisions of Article 14 of the General Conditions to the standard Grant Contract (see Annex F).

Staff costs

Staff costs shall mean any payment made to a person attached to a member of the partnership or working on a regular or recurrent basis for the project.

Staff costs shall be calculated on the basis of the actual salary/fee of the employee/service provider, multiplied by the number of months/days to be spent on the project. This calculation shall include all the normal charges paid by the employer, such as social security contributions and related costs, but shall exclude any bonus, incentive and profit-sharing arrangements or running costs.

Subcontracted costs

Overall project management, for which the Applicant will be responsible, cannot be subcontracted. It is suggested that the involvement of subcontractors only take place if necessary for the implementation of the project and for services which cannot be secured through the project partners. No projects should be controlled by subcontractors or be driven by commercial purposes.

The costs for subcontracted services – including consultancy services – must be listed in the table ‘Budget for the Action’ (see Annex B). In addition, financial details concerning the subcontracted activities (rates, number of days/months, outputs, etc.) must be developed as necessary in the ‘budget justification’ (Section II.2 of the Grant Application Form).

Proposals, which fail to comply with these principles, will be rejected by the Evaluation Committee.

Contingency reserve

A contingency reserve **not exceeding 5%** of the eligible direct costs may be included in the Budget of the Action. It can only be used with the **prior written authorisation** of the ACP Secretariat.

Participation in stakeholder meetings

For stakeholder meetings organised by the ACP Secretariat, an amount of EUR 5,000 must be entered in budget line 2.3 in the table ‘Budget for the Action’ (see Annex B).

Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the Action may be eligible for flat-rate funding fixed at not more than 7% of the total eligible direct costs.

If the applicant is in receipt of an operating grant financed from the European Community budget or the EDF, no indirect costs may be claimed within the proposed budget for the action.

Contributions in kind

Contributions in kind, which must be listed separately in the Grant Application Form (Part B Section I.3), do not represent actual expenditure and are not eligible costs. They refer to contributions given to the project that have a monetary value, but are not charged for, e.g., in the form of material or resource. The contributions in kind may not be treated as co-financing.

The cost of staff assigned to the Action is not a contribution in kind and may be considered as co-financing in the Budget of the Action when paid by the Beneficiary or his partners.

Notwithstanding the above, if the description of the Action as proposed foresees the contributions in kind, such contributions have to be provided.

Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- purchases of land or buildings, except where necessary for the direct implementation of the Action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the Action;
- currency exchange losses;
- taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes;
- credits to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

2.2.1 *Application form*

Applications must be submitted using the Grant Application Form annexed to these Guidelines (see Annex A) that includes the Concept Note (Part A) and the Full Application Form (Part B). Both parts must be completed. Guidance notes on how to complete these forms are included.

Applicants must apply in either **English or French**.

Please complete the application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B Section V of the Grant Application Form) or any major inconsistency in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) may lead to the rejection of the proposal.

Clarifications will only be requested when information provided is unclear, thus preventing the ACP Secretariat from conducting an objective assessment.

Please note that:

- Only the completed Grant Application Form and the annexes (Budget, Logical Framework) – that are attached to these Guidelines – **will be considered valid** and will be transmitted to the evaluators and assessors. It is, therefore, of utmost importance that these documents contain all relevant information concerning the Action. No supplementary annexes should be sent.
- Applicants must keep strictly to the format of the application and fill in the paragraphs and the pages in order.
- The information provided must explain the proposed Action in a concise and complete manner.
- Applicants must provide the budget with round figures.
- No additional and unrequested information must be included.
- **Hand-written applications will not be accepted.**

2.2.2 *Where and how to send the applications*

Where to send:

Applications must be submitted in a sealed envelope by registered mail, courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

Postal address (this is the same address for hand delivery or delivery by courier service)

**ACP Science and Technology Programme
Programme Management Unit
c/o GOPA-Cartermill
Rue de Trèves 45
B-1040 Brussels
BELGIUM**

TEL: 0032 (0)2 280.1737

Applications sent by any other means (e.g., by fax or e-mail) or delivered to other addresses **will be rejected.**

How to send:

Applications must be completed in both a **paper** and an **electronic** version in a standard text (Microsoft Word) and calculation (Microsoft Excel) format:

- Paper version

One (1) original and one (1) copy in A4 or letter size, **each separately bound and inserted together in one envelope, must contain** the following completed documents, for which the Annexes A-C of these Guidelines **must be used:**

- Grant Application Form (Part A: Concept Note, and Part B: Full Application Form), **and**
- Budget (worksheet 1 ‘Budget’, and worksheet 2 ‘Sources of funding’), **and**
- Logical Framework.

The ‘Checklist’ and the ‘Declaration by the Applicant’ (Part B Section V respectively Section VI of the Grant Application Form) must be **stapled and enclosed separately in the same envelope.**

- Electronic version

A copy of the above-mentioned documents, containing **exactly the same information**, must also be provided in electronic format (CD-Rom or floppy disc) and enclosed in a separate envelope.

Each of the three components of the application (Grant Application Form, Budget and Logical Framework) must be submitted in a separate electronic file. **Please do not split the Grant Application Form into several different files.**

To facilitate the processing of applications, the electronic version must be provided in **Word and Excel formats.**

The envelopes containing the paper version and the electronic version of the application must be inserted in one outer envelope that must bear the following 2 labels:

- in the middle

<p>TO : ACP Science and Technology Programme Programme Management Unit c/o GOPA-Cartermill Rue de Trèves 45 B-1040 Brussels BELGIUM</p>
--

- in the top left

<p><i>(insert the Title of the Call for Proposals)</i> <i>(insert the Reference number of the Call for Proposals)</i> <i>(insert the Number of the lot)</i></p> <p>FROM: <i>(insert the full name and address of the Applicant)</i></p> <p>"Not to be opened before the opening session"</p>
--

Please note that:

- Applicants must verify that their application is complete by filling in the ‘Checklist’ and signing the ‘Declaration by the Applicant’ (Part B Section V respectively Section VI of the Full Application Form). Incomplete applications may be rejected.
- The ‘Declaration by the Applicant’ must bear original signatures and stamps. The person to sign this should be authorised to act on behalf of the partnership submitting the proposal. At the same time, the sheet ‘The Applicant’ (Part B Section II.1 of the Grant Application Form) must identify the contact person to whom any requests for clarification or further information could be addressed.
- The ‘Description of Partners’ (Part B Section III.1 of the Grant Application Form) has to be filled in either **by the partners themselves or by the Applicant** on the basis of the information provided by the partners.
- All partners, with the exception of the Applicant, have to sign a ‘Partnership Statement’ (Part B Section III. 2 of the Grant Application Form). The person to sign this should be the person legally authorised to represent the partner institution.
- Faxed or scanned copies of signed Partnership Statements will be accepted, but Applicants may be subsequently asked to replace them with originals.
- Applicants who belong to the categories of organisations ‘c’ and ‘d’ as mentioned in Section 2.1.1 and who act as partnerships in themselves do not have to complete the above ‘Description of Partners’ and ‘Partnership Statement’.

Please also note that:

- Where an Applicant sends several different proposals, each one has to be sent separately.

2.2.3 *Deadline for submission of applications*

The deadline for the submission of applications to the address stated in Section 2.2.2 is **27 February 2009**, as evidenced by the date of dispatch, the postmark or the date and the hour of the disposal slip (16:00 hrs. Brussel time at the latest in case of hand-deliveries). Any application submitted after this deadline will be automatically rejected.

2.2.4 *Acknowledgement of receipt*

Following the proposal opening session, the ACP Secretariat will send an ‘Acknowledgement of receipt’ to all Applicants (see Section 2.3 below) by electronic mail. This is why it is important to provide a contact e-mail address in the ‘Declaration of the Applicant’.

2.2.5 *Further information*

Questions related to the completion of the Grant Application Form may be sent by e-mail, post or fax no later than 21 days before the deadline for the submission of proposals to one of the address(es) listed below:

E-mail address: **info@acp-st.eu**

Postal address: **ACP Science and Technology Programme
Programme Management Unit
c/o GOPA-Cartermill
Rue de Trèves 45
B-1040 Brussels
BELGIUM**

Fax number: **0032-2-280.1406**

Replies will be given no later than 11 days before the deadline for the submission of proposals.

In the interest of equal treatment of Applicants, the ACP Secretariat cannot give a prior opinion on the eligibility of an Applicant, a partner or an Action.

Questions that may be relevant to other Applicants, together with the answers, will be published on the ACP Science and Technology Programme’s website: <http://www.acp-st.eu>.

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by an Evaluation Committee composed of members of the ACP Secretariat. This Committee will be assisted by external assessors and by the Programme Management Unit. All Actions submitted by Applicants will be assessed according to the following steps and criteria:

STEP 1 – OPENING SESSION AND ADMINISTRATIVE CHECK

The following will be assessed:

- Has the deadline for submission of proposals been respected? If the deadline has not been respected, the proposal will automatically be rejected.
- Does the Grant Application Form satisfy all the criteria mentioned in the Checklist (Part B Section V of the Grant Application Form)? If any of the requested information is missing or is incorrect, the proposal may be rejected on that sole basis and the proposal will not be evaluated further.

Following the opening session and the administrative check, the ACP Secretariat will send an ‘Acknowledgement of receipt’ to all Applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated, whether they have satisfied all the criteria mentioned in the Checklist and whether their Concept Note has been recommended for evaluation (Step 2).

STEP 2 – EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the Action, its merits and effectiveness, its viability and sustainability. The ACP Secretariat reserves the right to skip the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of proposals are received) and to go straight to the evaluation of the corresponding Full Application Forms.

The Concept Note will be given an overall score out of a maximum of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with the instructions provided in the guidance for the drafting of the Concept Note (Part A of the Grant Application Form).

If the examination of the Concept Note reveals that the proposed Action does not meet the eligibility criteria stated in Section 2.1.3 of these Guidelines, the proposal shall be rejected on this sole basis.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Heading / subheading	Maximum Score
1. Relevance of the Action	15
1.1 Relevance of the problems to needs and constraints of the country/region to be addressed in general, and to those of the target groups and final beneficiaries in particular.	5
1.2 Relevance to the priorities and objectives mentioned in the Guidelines.	5 (x2)*
2. Effectiveness and Feasibility of the Action	25
2.1 Assessment of the problem identification and analysis.	5
2.2 Assessment of the proposed activities (practicality and consistency in relation to the objectives, purpose and expected results).	5 (x2)*
2.3 Assessment of the role and involvement of all stakeholders and proposed partners.	5 (x2)*
3. Sustainability of the Action	10
3.1 Assessment of the identification of the main assumptions and risks, before the start-up and throughout the implementation period.	5
3.2 Assessment of the identification of long-term sustainable impact on the target groups and final beneficiaries.	5
Maximum total score	50

* these scores are multiplied by 2 because of their importance

Once all Concept Notes have been assessed, a list will be established with the proposed Actions ranked according to their total score:

- Firstly, only the Concept Notes which have been given a score of a minimum of **12 points in the heading ‘Relevance’** as well as a **minimum total score of 30 points** will be considered for pre-selection.
- Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to no more than EUR 56 million for lot 1 and EUR 10 million for lot 2 (two times the available budget for each lot). The Evaluation Committee will subsequently proceed with the evaluation of the Full Application Form of the pre-selected Applicants (Step 3).

Please note that:

- The scores awarded to the Concept Note are completely independent from those given to the Full Application Form.
- A note will be sent (normally by e-mail) to the Applicants whose Concept Note has been evaluated, including the assessment results and indicating whether their full Application Form will be evaluated.

STEP 3 – EVALUATION OF THE FULL APPLICATION FORM

An evaluation of the quality of the proposals, including the proposed budget, and of the capacity of the Applicant and its partners, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria are intended to help evaluate the Applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the Action is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed Action. This also applies to any partners of the Applicant.

The award criteria allow the quality of the proposals submitted to be evaluated in relation to the set objectives and activities, and grants to be awarded to Actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of proposals which the ACP Secretariat can be confident will comply with its objectives and priorities and guarantee the visibility of the EDF and EC general budget financing. These criteria cover such aspects as the relevance of the Action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

If the examination of the proposal reveals that the proposed Action does not meet the **eligibility criteria** stated in Section 2.1.3 of these Guidelines, the proposal shall be rejected on this sole basis.

The **evaluation criteria** are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Section / subsection	Maximum Score
1. Financial and operational capacity	20
1.1 Do the Applicant and partners have sufficient experience of project management ?	5
1.2 Do the Applicant and partners have sufficient technical expertise ? (notably knowledge of the issues to be addressed.)	5
1.3 Do the Applicant and partners have sufficient management capacity ? (including staff, equipment and ability to handle the budget for the Action)?	5
1.4 Does the Applicant have stable and sufficient sources of finance ?	5
2. Relevance	25
2.1 How relevant is the proposal to the objectives and one or more of the priorities of the Call for Proposals? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least one priority . Note: A score of 5 (very good) will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality, equal opportunities, ...	5 x 2
2.2 How relevant to the particular needs and constraints of the target country/countries or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication.)	5
2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5 x 2

3. Methodology	25
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 How coherent is the overall design of the Action? (in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation ?)	5
3.3 Is the partners' level of involvement and participation in the Action satisfactory?	5
3.4 Is the Action plan clear and feasible?	5
3.5 Does the proposal contain objectively verifiable indicators for the outcome of the Action?	5
4. Sustainability	15
4.1 Is the Action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects ? (including scope for replication and extension of the outcome of the Action and dissemination of information.)	5
4.3 Are the expected results of the proposed Action sustainable : - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the Action? Will there be local 'ownership' of the results of the Action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the Action — e.g., will it lead to improved legislation, codes of conduct, methods, etc?</i>)	5
5. Budget and cost-effectiveness	15
5.1 Is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure necessary for the implementation of the Action?	5 x 2
Maximum total score	100

Note on Section 1. Financial and operational capacity

If the total score is **less than 12 points for section 1**, the Evaluation Committee will reject the proposal.

Note on Section 2. Relevance

If the total score is **less than 20 points for section 2**, the Evaluation Committee will reject the proposal.

Provisional selection

Following the evaluation, a table listing the proposals ranked according to their score and within the available financial envelope (EUR 28 million for Lot 1- EDF and EUR 5 million for Lot 2 - Budget) will be established as well as a reserve list following the same criteria.

Please note that:

- If, in addition to the partnership preference stated in Section 2.1.2 of these Guidelines, two applications attain the same score, the one with the higher score on the 'Relevance' criteria will be given a higher ranking.

- The scores awarded in this phase are completely independent from those given to the Concept Note of the same application.

STEP 4 – VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

The eligibility verification will **only** be performed for the proposals that have been **provisionally selected** according to their score and within the available financial envelope. This verification will be based on the supporting documents requested by the ACP Secretariat (see Section 2.4 below).

- The ‘Declaration by the Applicant’ (Part B Section VI of the Grant Application Form) will be cross-checked with the supporting documents provided by the Applicant. Any missing supporting document or any incoherence between this Declaration and the supporting documents may lead to the rejection of the proposal on that sole basis.
- The eligibility of the Applicant, the partners, and the Action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3 of these Guidelines.

Following the above analysis, any rejected proposal will be replaced by the next best placed proposal in the reserve list that falls within the available financial envelope. This proposal will then be examined for the eligibility of its Applicant and partners.

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED PROPOSALS

Applicants who have been provisionally selected or are listed under the reserve list will be informed so in writing by the ACP Secretariat. They will be requested to supply the following documents in order to allow the ACP Secretariat to verify the eligibility of the Applicants and its partners:

1. The statutes or articles of association of the Applicant organisation and of each partner organisation¹⁶. Where the ACP Secretariat has recognized the Applicant's eligibility for another Call for Proposals under the same budget line within 2 years before the deadline for submission of applications, the Applicant may submit, instead of its statutes, a copy of the document proving the eligibility of the Applicant in a former Call (e.g., a copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following Internet address: http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm.
2. A copy of the Applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed).¹⁷
3. A Legal Entity Sheet (see Annex D) duly completed, signed and stamped by the Applicant, accompanied by the justifying documents which are requested therein. If the Applicant has already signed a contract with the ACP Secretariat, instead of the legal entity sheet and its supporting documents, the legal entity number previously assigned may be provided, unless a change in its legal status occurred in the meantime.
4. A Financial Identification Form conforming to the model attached at Annex E, signed and stamped by the Applicant and certified (signed and stamped) by the bank to which the payments will be made. The bank must be located in the country where the Applicant is registered. If the Applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous Financial Identification Form may be provided instead, unless a change in the indicated bank account occurred in the meantime.
5. The name, complete address and contact details of the audit firm that will carry out the verification referred to in Article 15.6 of the General Conditions to the standard Grant Contract (see Annex F). Please note that the selected audit firm must be a member of an internationally recognised supervisory body for statutory auditing.

The supporting documents requested must be supplied in the form of originals or photocopies of the said originals. However, the Legal Entity Sheet and the Financial Identification Form must always be submitted in original.

¹⁶ Where the Applicant and/or (a) partner(s) is/are a public body created by a law, a copy of the said law must be provided.

¹⁷ This obligation does not apply to public bodies or to international organisations.

Where such documents are not in one of the official languages of the Programme (English, French, and Portuguese), a translation into English or French must be provided by the Applicant and/or partner(s).

If the supporting documents are not provided before the set deadline (15 calendar days from the receipt of the notice sent by the ACP Secretariat), the application may be rejected.

Based on the verification of the supporting documents, the Evaluation Committee will make a final recommendation to the ACP Secretariat, which will decide on the award of grants.

2.5 NOTIFICATION OF THE ACP SECRETARIAT'S DECISION

2.5.1 Content of the decision

Applicants will be informed in writing (normally by e-mail) of the ACP Secretariat's decision concerning their application and the reasons for the decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may petition to the ACP Secretariat directly. The ACP Secretariat must reply within 90 days of receipt of the complaint.

Where the European Commission is informed of such a complaint, it must communicate its opinion to the ACP Secretariat and do all it can to facilitate an amicable solution between the complainant (Applicant) and the ACP Secretariat. If this procedure fails, the Applicant may have recourse to procedures established under the recipient's national legislation.

2.5.2 Indicative time table

COMPONENT	DATE	TIME **
Deadline for request for any clarifications from the ACP Secretariat	21 days before the deadline for submission of applications	18:00 hrs.
Last date on which clarifications are issued by the ACP Secretariat	11 days before the deadline for submission of applications	18:00 hrs
Deadline for submission of the application	27 February 2009	16:00 hrs (if hand delivered)
Information to Applicants on the opening & administrative check	March 2009*	n/a
Information to Applicants on the evaluation of the Concept Notes	March 2009*	n/a
Information to Applicants on the evaluation of the Full Application Form	May 2009*	n/a
Notification of award (after the eligibility check)	June 2009*	n/a
Contract signature	July 2009*	n/a

* Provisional date.

** Brussels Time (time of the ACP Secretariat)

2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE ACP SECRETARIAT'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary will be offered a contract based on the ACP Secretariat's standard Grant Contract (see Annex F). By signing the Grant Application Form (see Annex A), the Applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the standard Grant Contract.

If the successful Applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the ACP Secretariat will be used instead of the standard Grant Contract provided that the international organisation in question offers the guarantees provided for in Article 53d (1) of the Financial Regulation, as described in Chapter 7 of the *'Practical Guide to Contract procedures for EC external Actions'*.

Implementation contracts

Where implementation of the Action requires the Beneficiary to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. To this end, the Beneficiary must follow the procedures set out in Annex IV to the standard Grant Contract.

3. LIST OF ANNEXES

DOCUMENTS TO FILL IN

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (EXCEL FORMAT)

Public Entities:

http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3e_lefpublic_en.pdf

Private Companies:

http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3e_lefcompany_en.pdf

ANNEX E: FINANCIAL IDENTIFICATION FORM

http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3f_fif_en.pdf

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD GRANT CONTRACT, available at the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_1specond_en.doc

ANNEX G: DAILY ALLOWANCE RATES (PER DIEM), available at the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm

ANNEX H: STANDARD CONTRIBUTION AGREEMENT, applicable in case where the beneficiary is an International organisation; available at the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/annexes_standard_documents/index_en.htm

ANNEX I: OVERVIEW OF DIFFERENCES BETWEEN LOT 1 –EDF AND LOT 2 – BUDGET AND LIST OF ELIGIBLE COUNTRIES AND COMPOSITION OF REGIONS



ACP Science and Technology Programme

Annex I to the Guidelines for Grant Applicants

Overview of Differences between Lot 1 –EDF and Lot 2 – Budget and List of eligible countries and composition of regions

Eligible nationality¹⁸ for Applicants and partners

	Lot 1 – EDF (28 M€)	Lot 2 – Budget (5 M€)
79 ACP States (Table A)	✓	✓
27 EU Member States (Table B)	✓	✓
European Economic Area Member States (Table C)		✓
Official EU Candidate countries (Table D)		✓
	Applicants must operate with a partnership that must involve at least three organisations from at least two different ACP Member States. The number of non-ACP partners in a partnership cannot be greater than the number of ACP partners.	

Table A: The 79 African, Caribbean and Pacific Member States divided into the six regions eligible under Lot 1 and 2

Eastern Africa Burundi Comoros Djibouti Eritrea Ethiopia Kenya Madagascar Mauritius Rwanda Seychelles Somalia Sudan Tanzania Uganda	Central Africa Cameroon Central African Rep. Chad Congo Democratic Rep. of Congo Equatorial Guinea Gabon Sao Tome & Principe	Western Africa Benin Burkina-Faso Cape Verde Côte d'Ivoire Gambia Ghana Guinea Guinea Bissau Liberia Mali Mauritania Niger Nigeria Senegal Sierra Leone Togo
Southern Africa Angola Botswana Lesotho Malawi Mozambique	Caribbean Antigua and Barbuda Bahamas Barbados Belize Dominica	Pacific Cook Islands Fiji Kiribati Marshall Islands Micronesia

¹⁸ Other eligibility criteria apply. Refer to Section 2.1.1 of the Guidelines for Grant Applicants.

Namibia South Africa Swaziland Zambia Zimbabwe	Cuba ¹⁹ Dominican Republic Grenada Guyana Haiti Jamaica Saint Kitts and Nevis Saint Lucia Saint Vincent and Grenadines Suriname Trinidad and Tobago	Nauru Niue Palau Papua New Guinea Samoa Solomon Islands Timor Leste Tonga Tuvalu Vanuatu
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Table B: 27 EU Member states eligible under lots 1 and 2

Austria Belgium Bulgaria Cyprus Czech Republic Denmark Estonia Finland France Germany	Greece Hungary Ireland Italy Latvia Lithuania Luxembourg Malta Poland Portugal	Romania Netherlands Slovakia Slovenia Spain Sweden United Kingdom
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Table C: 3 EEA EFTA states eligible under "lot 2 – Budget" only

Iceland	Liechtenstein	Norway
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Table D: 3 official EU candidate countries eligible under "lot 2 – Budget" only

Croatia	Former Yugoslav Rep. of Macedonia	Turkey
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¹⁹ Institutions from Cuba may only participate in projects as associates, and cannot be final beneficiaries of the project.