



**Contracting Authority: European Commission**

**Partnerships for Capacity  
Development in the ACP Water &  
Sanitation Sector**

**Restricted Call for Proposals**

**Guidelines  
for grant applicants**

10<sup>th</sup> European Development Fund

ACP-EU Water Facility

Reference: EuropeAid/129510/C/ACT/Multi

Deadline for submission of the Concept Notes: **6<sup>th</sup> October  
2010**

## **Notice**

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form. Further to the evaluation of the Full Applications, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the Contracting Authority (CA) and the signed "Declaration by the Applicant" sent together with the application.

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# 1. PARTNERSHIPS FOR CAPACITY DEVELOPMENT IN THE ACP WATER & SANITATION SECTOR

## 1.1 BACKGROUND

At the 2002 World Summit on Sustainable Development (WSSD) in Johannesburg, the EU Member States and the European Commission launched the EU Water Initiative to help mobilise an integrated approach to water resources management and achieve the Millennium Development Goals (MDGs) for drinking water and sanitation. The EU Water Initiative is a multi-stakeholder platform comprising governments, local authorities, water operators, civil society organisations and business.

As a response to the objectives of the EU Water Initiative, the ACP-EU Water Facility was set up in 2004 with the principal objective of providing water and basic sanitation to the poor, and of improving water management governance in ACP countries<sup>1</sup>. The Water Facility financial amount of €497 million coming from the 9<sup>th</sup> European Development Fund was allocated in a First tranche of €247 million and a Second tranche of €250 million<sup>2</sup>. Most of the funds were allocated via two calls-for-proposals, the first launched in 2004 and the second in 2006. The European Commission contribution to all 175 projects selected via the calls-for-proposals is €414.5 million.

In terms of direct end-beneficiaries, and as regards the €350 million European Commission contribution for 130 small and large-scale water and sanitation projects, the present estimate is that about 14.5 million people are expected to directly benefit from access to safe water. Of these, some 3.5 million will also benefit from access to improved sanitation and 10.5 million from hygiene promotion programmes. In many projects, simple and low maintenance technologies are being used like, for example, boreholes or hand-dug wells fitted with hand pumps. Most of the end-beneficiaries are in sub-Saharan Africa. There are, in addition, many indirect beneficiaries resulting from the 45 projects (European Commission contribution €64.5 million) on "Improving water management and governance", mostly for projects in Africa.

A new amount of €200 million, allocated in March 2009 to the Water Facility under the 10<sup>th</sup> European Development Fund<sup>3</sup>, was approved by the European Commission at the end of 2009. The Water Facility is part of an integrated financing framework for the water and sanitation sector, complementing European Commission support which takes place through national and regional programmes.

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<sup>1</sup> Council Decision [2004/289/EC](#) of 22 March 2004 establishing the Water Facility for ACP countries, Official Journal L 94, 31.03.2004.

<sup>2</sup> [Decision 2004/632/EC](#) of the ACP-EC Council of Ministers of 6 May 2004, Official Journal L 289 of 10.9.2004.

<sup>3</sup> Intra-ACP Cooperation - 10<sup>th</sup> EDF "Strategy Paper and Multiannual Indicative Programme 2008-2013", 13<sup>th</sup> March 2009.

## 1.2 OBJECTIVES OF THE PROGRAMME

The **specific objectives** of the 10<sup>th</sup> European Development Fund ACP-EU Water Facility are:

- To help achieve the water and sanitation MDGs which is to halve by 2015 the proportion of people without sustainable access to safe drinking water and basic sanitation, vital in themselves but also key prerequisites for reducing child and maternal mortality (MDGs 4 & 5) and combating diseases (MDG 6)
- To contribute to improving water governance and management of water resources and to the sustainable development and maintenance of water infrastructure.

This Call for Proposals<sup>4</sup> addresses the second of the abovementioned **specific objectives**. The **purpose** is to provide funding for:

- Partnership projects (North-South and South-South) to develop capacity in the ACP water & sanitation sector, leading to better water and sanitation governance and management, and to the sustainable development and maintenance of infrastructure

Adequate capacity in the ACP water & sanitation sector is one of the critical missing factors in current efforts to meet the MDGs. The aim of partnerships is to transfer expertise, knowledge and learning from water & sanitation utilities, local authorities and other water sector organisations to ACP counterparts.

This Call for Proposals encourages partnership projects that also:

- Contribute to developing or implementing national and regional water and sanitation strategies and programmes.
- Actively involve local Non State Actors (NSAs)<sup>5</sup>.

## 1.3 FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION

The overall indicative amount made available under this call for proposals is €40 million. The CA reserves the right not to award all available funds.

### Size of grants

Any grant awarded under this Call for Proposals must fall between the following minimum and maximum amounts:

- minimum amount: €250,000
- maximum amount: €1,000,000

In addition, no grant may exceed 75 % 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.

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<sup>4</sup> A separate call for proposals was published on 11.02.2010 to address the specific objective relating to water, sanitation and hygiene promotion (Ref: EuropeAid/129509/C/ACT/Multi).

<sup>5</sup> According to Article 6 of the Cotonou Agreement, non-state actors (NSAs) include: i) the private sector; ii) economic and social partners, including trade union organisations; and iii) civil society in all its diversity, according to national characteristics.

## 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, in conformity with the provisions of the Practical Guide to contract procedures for European Commission external actions.

The majority of terms used in the present guidelines are explained in the Glossary to the Practical Guide to contract procedures for European Commission external action.

The aforementioned Practical Guide and the Glossary can be consulted at the following internet address:

[http://ec.europa.eu/europeaid/work/procedures/implementation/practical\\_guide/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm).

In addition to the Glossary, the following definitions apply to the present guidelines:

<b>Applicant/Grant beneficiary</b>	The lead organisation and principal implementing partner within the partnership, responsible for submitting the application and receiving the grant, and who will provide training and/or capacity development to the beneficiary partner(s).
<b>Beneficiary partner(s)</b>	The ACP organisation(s) receiving training and/or capacity development from the implementing partner(s).
<b>Implementing partner(s)</b>	Organisation(s) other than the applicant who will provide training and/or capacity development to the beneficiary partner(s).
<b>Supporting partner(s)</b>	Non-State Actors (other than water and sanitation utilities) and ACP national governments (specifically Ministries responsible for Water and Sanitation) which can assist in activities such as awareness raising and in the institution-building process.
<b>Partnership</b>	The grouping of organisations i.e. the applicant, implementing partner(s), beneficiary partner(s) and supporting partner(s).

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicant(s) which may request a grant (2.1.1), and their partners (2.1.2);
- actions for which a grant may be awarded (2.1.3);
- types of cost which may be taken into account in setting the amount of the grant (2.1.4).

### 2.1.1 Eligibility of applicants: who may apply?

(1) In order to be eligible for a grant, applicants **must**:

- be legal persons **and**
- be nationals<sup>6</sup> of a Member State of the European Union or of one of the ACP countries<sup>7</sup> **and**
- be water and sanitation utilities *or* local authorities<sup>8</sup> *or* other water sector organisations **and**
- be the lead organisation within the partnership **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- be able to demonstrate that they have been constituted & registered in accordance with the legislation in force in the country concerned.

(2) Potential applicants may not participate in calls for proposals or 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 European Commission external actions (available from the following Internet address:

[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm))

In part A, section V of the Grant Application Form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

### 2.1.2 Partnerships and eligibility of partners

#### **Partnerships**

The purpose of a partnership is to enable a beneficiary partner(s) to achieve significant progress in water & sanitation governance, management and sustainable development & maintenance of infrastructure. The project should lead to a **concrete operational result** (the so-called mandatory result) for the beneficiary partner(s). The mandatory result should be maintained as a permanent asset to the beneficiary partner(s) even after the end of the project implementation. A partnership should involve close cooperation and should not be only a means to provide one-way advice or other types of classical technical assistance.

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<sup>6</sup> For water and sanitation utilities, local authorities and NSAs the nationality is determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national 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 the statutes are registered locally or a “Memorandum of Understanding” has been concluded.

<sup>7</sup> Please refer to Annex J: List of Eligible Countries, including restrictions of cooperation for certain ACP countries.

<sup>8</sup> The term "local authority" refers to any legislative tier of government that is below the national level. This can include district or city municipalities, state or regional governments, and local/regional governmental agencies.

The beneficiary partners are ACP water and sanitation utilities *or* ACP local authorities *or* other ACP water sector organisations (e.g. river basin organisations and training centres).

Non-State Actors (other than water and sanitation utilities) and ACP national governments are not eligible to be implementing or beneficiary partners but may participate in the action as supporting partners.

Applicants may act individually or with partner organisations. Examples of partnerships include:

- i) The applicant as the sole implementing partner and only one beneficiary partner (twinning).
- ii) The applicant, several implementing partners and several beneficiary partners.
- iii) The applicant, one or more implementing partner(s), one or more beneficiary partner(s), and one or more supporting partners.

### **Eligibility of partners**

Applicants' partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. Partners must therefore satisfy the eligibility criteria as applicable to the grant beneficiary (see section 2.1.1).

Many local NSAs may not be registered nor have the means to be registered in accordance with the legislation in force in the country concerned. For this reason, and in order to facilitate their participation as supporting partners, local NSAs who can demonstrate the inability to have legal personality are not required to be registered. However, their representatives must have the capacity to undertake legal obligations on their behalf, and assume financial liability.

The exemption of local NSAs acting as supporting partners from the requirement to be constituted & registered in accordance with the legislation in force in the country concerned is exceptional. This is consequent to the requirement to have the active involvement of local partners in the project.

### **The following are not partners and do not have to sign the “partnership statement”:**

- 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 Eligible actions: actions for which an application may be made

#### **Duration**

The initial planned duration of an action may not be lower than 24 months nor exceed 60 months.

#### **Sectors or themes**

The purpose is to develop capacity of ACP water & sanitation utilities, ACP local authorities & other ACP water sector organisations (e.g. river basin organisations and training centres) in water & sanitation governance and management and sustainable development & maintenance of infrastructure.

There are a broad range of themes including:

- Good governance and integrated water resource management (IWRM)
- System maintenance and improvement (including leakage reduction)
- Water quality testing
- Water resources protection and pollution prevention including preliminary studies to assess the state of water resources & necessity and scale of infrastructure developments
- Improving efficiency in management practices
- Labour management tools
- Accessing investment finance
- Methodologies for expanding access to the poor
- Building a participatory process to allow consensual institution-building within local politics
- Awareness-raising and institutional support such as the reinforcement of the municipalities' management and control capabilities, in-house organisational restructuring or the development of transparency and accountability practices through the involvement of local civil society organisations.

#### **Location**

Actions must take place in EU or ACP countries.

#### **Types of action**

An action must comprise of capacity development responding to specific needs of beneficiary partners(s) for improved water and sanitation services, improved water governance, better management of water resources and sustainable development and maintenance of water infrastructure.

Each action should contribute to developing or implementing national strategies and programmes for water and sanitation and be replicable within the country/region.

#### **Types of activity**

Capacity development activities are those aiming at: i) developing the *knowledge* and *competence* of individuals and organisations; ii) developing *organisations* and/or *systems of organisations*; iii) changing and strengthening institutional frameworks in the form of formal policies and laws and/or other informal norms which stipulate the limits within which individuals and organisations develop.

Types of activity within a project which may be financed under this call are:

- Training, knowledge transfer, learning and other capacity development activities

Classical training activities may be a necessary part of the project. These may take the form of seminars in the beneficiary partner's organisation or elsewhere, if justified. They may also take the form of trainee/internships, i.e. giving beneficiary partner's employees the opportunity to spend time in the implementing partners' organisations. There may also be other types of training courses (e.g. intensive highly specialised courses delivered by dedicated training institutions, provided that such training is necessary to achieve the mandatory result) or workshops on particular specialist subjects.

Normally traineeships in implementing partners' organisations will be reserved for a small number of beneficiary partner's specialists and for a limited time. Seminars will normally be held in beneficiary partner's organisation where they can reach a larger number of participants at lower cost.

- Supplies and services, subject to the procurement rules set out in Annex IV to the Standard Grant Contract (Annex G of the Guidelines), and not exceeding 30% of the total eligible direct costs.

Other activities which must be included as part of the action are:

- A communication and visibility plan (with the corresponding budget given in Annex B. Budget) in line with the communication and visibility manual for EU external actions: [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm).
- A monitoring and evaluation plan (with the corresponding budget given in Annex B. Budget) for monitoring the proposed action and to carry out an evaluation(s).

The following types of action are ineligible:

- actions which are profit-making;
- actions in which providers of services and supplies are named as partners with the purpose of i) circumventing competitive tendering procedures and ii) avoiding the application of procurement rules set out in Annex IV to the standard grant contract;
- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin;
- actions supporting political parties;
- actions which include proselytism.

### **Number of applications and grants per applicant**

An applicant may submit more than one application(s) under this call for proposals.

An applicant may be awarded more than one grant under this call for proposals.

An applicant may at the same time be partner in another application.

Partners may take part in more than one application.

#### 2.1.4 *Eligibility of costs: costs which may be taken into consideration for the grant*

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is 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 CA 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.

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

##### **Eligible direct costs**

To be eligible under the Call for Proposals, costs must comply with the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex G of the Guidelines).

##### **Contingency reserve**

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

##### **Eligible indirect costs (overheads)**

A lump sum not exceeding 7% of the total amount of eligible costs of the Action may be included as indirect costs in the Budget of the Action. These costs concern administrative overheads generated by the implementation of the Action and should not overlap with any of the budgeted items nor should they be used to cross-subsidise other actions undertaken by the Beneficiary.

##### **Contributions in kind**

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.

The CA will accept co-financing in kind if considered necessary or appropriate, and limited to supplies of materials, hardware & software necessary for the functioning of the partnership. In such cases, the value of such contributions must not exceed:

- a) either the costs actually borne and duly supported by accounting documents;
- b) or the costs generally accepted on the concerned market of reference.

Contributions involving real estate shall be excluded from the calculation of the amount of co-financing.

If co-financing in kind is proposed, they have to be included in Annex B (worksheet 2) to the Guidelines for applicants related to the expected sources of funding for the action.

### **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.
- credit to third parties.

## **2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW**

This is a restricted Call for Proposals. **In the first instance, only Concept Notes must be submitted for evaluation**. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form.

Please note that the prior registration in PADOR (Potential Applicant Data On-Line Registration) is **obligatory** for both applicants and partners. If local-NSAs acting as supporting partners do not have legal personality, they are exempt from the obligation to register in PADOR.

The deadline for PADOR registration for the Applicant is the same as that for submission of the Concept note. In case the applicant has been invited to submit a full proposal, then partners must register in PADOR by the deadline for submission of the Full Application Form.

PADOR is an on-line database in which organisations register themselves and update regularly their data. Data provided by organisations in PADOR is used by the European Commission for checking the eligibility of the organisations that participate in calls for proposals. This data concerns the organisation itself, it is not linked to a particular project proposal.

Before starting the registration in PADOR, please check if your organisation has already registered and obtained a EuropeAid ID. Moreover, please check the Detailed Guide Section and the Help Section available on the PADOR website:

[http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

Applicants must complete all the sections presented in PADOR with the exception of the section "Strategy and Methodology". The partners must complete all PADOR sections with the exception of the sections "Board of Directors" and "Strategy and Methodology". All the required supporting documents for the Applicant should be uploaded in PADOR by the Concept Note submission deadline. The EuropeAid ID number (assigned upon registration in PADOR) of the applicant must be indicated in the Concept Note. In case the applicant has been invited to submit a full proposal, then partners must upload their documents in PADOR by the deadline for submission of the Full Application Form.

However, the applicant can submit a request for derogation concerning its registration in PADOR. In this case, it is compulsory for the applicant to complete the PADOR Derogation Pack (Annex K-A) and to send it together with the Concept Note to the

address indicated in section 2.2.2. of the Guidelines. The applicant can also submit a request for derogation concerning its partners' registration in PADOR (using Annex K-B) 21 days before the deadline for submission of the Full Application Form. The CA needs to reply at the latest 11 days before the deadline for the submission.

The justification for a derogation must be based on the objective impossibility of the applicant/partner(s) to have access to the technology required to register in PADOR. This objective impossibility should go beyond the control of the applicant/partner(s) and, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant itself). The applicant should provide, where possible, documents for itself and any partners, substantiating its request. The CA shall reason its reply.

Any derogation granted will apply only to the specific call for proposals in the context of which it was requested. If a derogation is granted, data will be introduced in PADOR by the CA. If, at a later stage, the organisation wishes to update its data itself, an access request will have to be sent to the PADOR help desk.

All questions related to the registration in PADOR should be addressed **to the PADOR help desk:**

[europaaid-on-line-registration-hd@ec.europa.eu](mailto:europaaid-on-line-registration-hd@ec.europa.eu)

<i>2.2.1 Concept Note</i>
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Applications must be submitted in accordance with the instructions on the Concept Note included in the Grant Application Form annexed to these Guidelines (Annex A, Part A) taking care to use the correct application documents for this Call (to be downloaded from the EuropeAid website at:

<https://webgate.ec.europa.eu/europaaid/online-services/index.cfm?do=publi.welcome>).

Any Concept Note using the format relating to any other Call may be rejected.

Applicants must apply in English, French, Spanish or Portuguese.

In the Concept note, the applicants must only provide an estimate of the total costs of the action together with the amount of contribution and percentage requested from the European Commission. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The total European Commission contribution requested in the full application may not vary from the initial estimates provided in the Concept Note by more than 20%. The applicant is free to adapt the percentage of co-financing as long as the European Commission contribution requested does not exceed 75% of the total eligible costs of the action.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

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

Hand-written Concept Notes will not be accepted.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. Annex D and Annex E must also be submitted. **No supplementary documents should be sent.**

### 2.2.2 *Where and how to send concept notes*

The Concept note together with the Checklist for the Concept Note (Part A section II of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section III of the grant application form) must be submitted in one original and 3 copies in A4 size, each bound.

Concept Notes must also be submitted in electronic format (CD-Rom). The electronic version must be **exactly the same** as the paper version.

Where an applicant sends several different concept notes, each one must be sent separately.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the applicant, and the words "Not to be opened before the opening session".

Concept Notes must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated acknowledgement of receipt will be given by the European Commission) at one of the addresses below:

Postal address

European Commission  
EuropeAid Cooperation Office, Unit C/7  
Office: L-41, 03/43  
B-1049 Brussels (Belgium)

Address for hand delivery or by private courier service

European Commission  
EuropeAid Cooperation Office, Unit C/7  
Office L-41, 03/43  
**c/o Central Mail Service**  
**Avenue du Bourget 1**  
**B-1140 Brussels (Evère)**  
**BELGIUM**

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

**Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section II of the grant application form). Incomplete concept notes may be rejected.**

### 2.2.3 *Deadline for submission of the Concept Notes*

The deadline for the submission of Concept Note is 6<sup>th</sup> October 2010 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16:00 hours CET, the date and time of reception will be evidenced by the signed and dated acknowledgement of receipt given to the bearer by the European Commission.

Any Concept Note sent after the deadline or, in case of hand-deliveries, received after the stipulated time will be rejected.

#### 2.2.4 Further information for Concept Notes.

Questions concerning this Call for Proposals (except those related to registration in PADOR) may only be sent by e-mail or by fax no later than 21 days before the deadline for the submission of concept notes to the e-mail address below, indicating clearly the reference of the call for proposals:

E-mail address: [Europeaid-water-facility-helpdesk@ec.europa.eu](mailto:Europeaid-water-facility-helpdesk@ec.europa.eu)

Fax: (+32-2) 299.86.22

The CA has no obligation to provide further clarifications after this date.

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

**In the interest of equal treatment of applicants, the CA cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities.**

After the deadline for submission of Concept Notes, the above-mentioned e-mail address can only be used by the CA to initiate correspondence regarding any requests for clarification that may be required.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox.

Questions that may be relevant to other applicants, together with the answers as well as other important notices to applicants during the course of the evaluation procedure, may be published on the internet at the EuropeAid website:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

#### 2.2.5 Full Application form

Applicants invited to submit a Full Application Form following the pre-selection of the Concept Note must do so by using the application documents annexed to these Guidelines: "Annex A, Part B-Full Application Form", "Annex B-Budget" and "Annex C-Logical Framework".

The total European Commission contribution given in the detailed budget (Annex B) may not vary from the initial estimates provided in the Concept Note by more than 20%. The applicant is free to adapt the percentage of co-financing as long as the European Commission contribution requested does not exceed 75% of the total eligible costs of the action.

Applicants must submit their applications in the same language as their concept note.

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

Clarifications will only be requested when information provided is unclear.

Hand-written applications will be rejected.

Please note that only the full application form and the published annexes which have to be filled in (Annex B: Budget, Annex C: Logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. Annex F must also be submitted. **No supplementary documents should be sent.**

#### 2.2.6 *Where and how to send the Full Application form*

Applications must be submitted in one original and **3** copies in A4 size, each bound. The complete application form (Annex A, Part B: full application form), budget (Annex B), logical framework (Annex C) and Synopsis Form (Annex F) must also be supplied in electronic format (CD-Rom), each as a separate file. The electronic version must be **exactly the same** as the paper version.

The Checklist (Section VII of part B of the grant application form) and the Declaration by the applicant (Section V of part B of the grant application form) must be stapled separately and enclosed in the envelope.

Where an applicant sends several different applications, each one must be sent separately.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the number and title of the lot the full name and address of the applicant, and the words "Not to be opened before the opening session".

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

Postal address

European Commission  
EuropeAid Cooperation Office, Unit C/7  
Office: L-41, 03/43  
B-1049 Brussels (Belgium)

Address for hand delivery and by private courier service

European Commission  
EuropeAid Cooperation Office, Unit C/7  
Office L-41, 03/43  
**c/o Central Mail Service**  
**Avenue du Bourget 1**  
**B-1140 Brussels (Evère)**  
**BELGIUM**

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

**Applicants must verify that their application is complete using the checklist (section VII of part B of the grant application form). Incomplete applications may be rejected.**

### 2.2.7 *Deadline for submission of the Full Application form*

The deadline for the submission of applications will be indicated in the letter sent to those applicants invited to submit a full proposal. Submission within the deadline will be evidenced by the postmark or the date of the deposit slip. In case of hand-deliveries the date of reception will be evidenced by the signed and dated acknowledgement of receipt given to the bearer by the European Commission. Any application submitted after the deadline will automatically be rejected.

In addition, a notice indicating the deadline for submission of Full Application Forms will be published on EuropeAid's website at:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

### 2.2.8 *Further information for the Full Application form*

Questions concerning the Full Application Forms (except those related to registration in PADOR) may only be sent by e-mail or by fax no later than 21 days before the deadline for the submission of applications to the e-mail address below, indicating clearly the reference of the call for proposals:

E-mail address: [Europeaid-water-facility-helpdesk@ec.europa.eu](mailto:Europeaid-water-facility-helpdesk@ec.europa.eu)

Fax: (+32-2) 299.86.22

The CA has no obligation to provide further clarifications after this date.

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

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox.

**In the interest of equal treatment of applicants, the CA cannot give a prior opinion on the eligibility of an applicant, a partner or an action.**

After the deadline for submission of applications, the above-mentioned e-mail address can only be used by the CA to initiate correspondence regarding any requests for clarification that may be required from the Applicant.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox.

Questions that may be relevant to other applicants, together with the answers, will be published on the internet at the EuropeAid website:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

It is therefore highly recommended to regularly consult the abovementioned website.

## **2.3 EVALUATION AND SELECTION OF APPLICATIONS**

Applications will be examined and evaluated by the CA according to the following steps and criteria given below.

**If at any stage in the evaluation process any component of the application (the applicant, a partner or the action) is identified as not fulfilling the eligibility criteria specified in the sections 2.1.1, 2.1.2 and 2.1.3 of the present guidelines, the application will be rejected on this sole basis.**

### **(1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK OF THE CONCEPT NOTE**

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in the Checklist (section II of part A of the Grant Application Form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and will not be evaluated further.

Following the opening session and the administrative check, the CA will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated, and whether they have been recommended for further evaluation.

### **(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 CA reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when fewer than the expected number of applications are received) and to directly send invitations to the applicants to submit a full proposal.

Please note that the scores awarded to the Concept Note are completely separate from those given to the Full Application.

The Concept Note will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with instructions provided in the guidance for Concept Note, part A of the grant application form.

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.

<b>Concept Note Evaluation Grid</b>		<b>Scores</b>	
<b>1. Relevance of the action</b>		Sub-score	15
1.1	Relevance of the action to the needs and constraints of the water and sanitation sector in the country/region of the beneficiary partner(s).	5	
1.2	Relevance to the <b>specific objective</b> and <b>purpose</b> of this call. Also does the project i) contribute to developing or implementing national water and sanitation strategies and programmes and ii) actively involve local Non State Actors (see Section 1.2 of the Guidelines).	5(x2)*	
<b>2. Effectiveness and Feasibility of the action</b>		Sub-score	25
2.1	Assessment of the problem identification and analysis.	5	
2.2	Assessment of the practicality and consistency of the proposed activities in relation to the duration, budget, action plan and expected achievements (mandatory results).	5(x2)*	
2.3	Assessment of the role and involvement of all partners, and the implementing and beneficiary partners in particular.	5(x2)*	
<b>3. Sustainability of the action</b>		Sub-score	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 steps proposed by partners to ensure that the achievements (mandatory results) are maintained as a permanent asset to the beneficiary partner(s).	5	
<b>TOTAL SCORE</b>			<b>50</b>

\*the 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 category "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 cumulative sum of requested contributions amounts to €80 million which is twice the available budget for this Call for proposals.

The preselected applicants will subsequently be invited to submit full applications.

### **(3) STEP 3: OPENING SESSION AND ADMINISTRATIVE CHECK OF THE FULL APPLICATION FORM.**

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Full Application Form satisfies all the criteria mentioned in the Checklist (Section VII of part B of the Grant Application Form). If any of the requested

information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

Following the opening session and the administrative check, the CA will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, and whether their application has been recommended for further evaluation.

#### **(4) STEP 4: EVALUATION OF THE FULL APPLICATION FORM**

An evaluation of the quality of the applications, 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 partner of the applicant.

**The award criteria** allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the call for proposals. They enable the selection of applications which the CA can be confident will comply with its objectives and priorities and guarantee the visibility of the EDF financing. They 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.

*Scoring:*

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 guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

<b>Full Application Form Evaluation Grid</b>	<b>Maximum Score</b>
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicant and, if applicable, implementing partner(s) have sufficient <b>experience of project management</b> ?	5
1.2 Do the applicant and, if applicable, implementing partner(s) have sufficient <b>technical expertise</b> ?	5
1.3 Do the applicant and, if applicable, implementing partner(s) have sufficient <b>management capacity</b> ? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of <b>finance</b> ?	5
<b>2. Relevance</b>	<b>25</b>
2.1 How relevant is the proposal to the <b>specific objective and purpose</b> of the call for proposals? Note: A score of 5 (very good) will only be allocated if the proposal fully addresses the specific objective and purpose. Note: A score of 5 (very good) will only be allocated if the proposal i) contributes to developing or implementing national water and sanitation strategies and programmes and ii) actively involves local Non State Actors (NSAs).	5 x 2
2.2 How relevant is the proposal to the particular <b>needs and constraints</b> of the water and sanitation sector in the country/region of the beneficiary partner(s)?	5
2.3 How clearly defined and strategically chosen is the mandatory result? Have the <b>needs</b> of the beneficiary partner(s) been clearly defined and does the proposal address them appropriately? (Including synergy with any other initiatives and avoidance of duplication.)	5 x 2
<b>3. Design of the action, effectiveness &amp; consistency</b>	<b>25</b>
3.1 Are the <b>activities</b> 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 with regard to self-consistency between the project description, log frame, action plan and budget? Are the procedures for internal/external evaluation well described?	5
3.3 Is the role of each partner in achieving the mandatory result well described?	5
3.4 Is the <b>action plan</b> clear and feasible?	5
3.5 Does the proposal logframe contain <b>objectively verifiable indicators</b> for the outcome of the action?	5
<b>4. Sustainability</b>	<b>15</b>
4.1 Is the action likely to have a tangible <b>impact</b> on the operations of the beneficiary partner(s)?	5
4.2 Is the proposal likely to have <b>multiplier effects</b> ? (including being replicated and/or scaled-up within the country/region).	5
4.3 Are the measures proposed by partners to ensure that the achievements (mandatory results) are maintained as a <b>permanent asset</b> to the beneficiary partner(s) well described?	5
<b>5. Budget and cost-effectiveness</b>	<b>15</b>
5.1 Is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure <b>necessary</b> for the implementation of the action?	5 x 2
<b>Maximum total score</b>	<b>100</b>

*Note on Section 1. Financial and operational capacity*

If the total average score is less than 12 points for section 1, application will be rejected.

*Note on Section 2. Relevance*

If the total average score is less than 20 points for section 2, the application will be rejected.

*Provisional selection*

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

Note: The scores awarded in this phase are completely separate from those given to the concept note of the same application.

## **(5) STEP 5: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS**

The eligibility verification, based on the supporting documents requested by the CA (see section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope and will be done as follows:

- The Declaration by the applicant (Section V of part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application 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.

Following the above analysis, and if necessary, any rejected application will be replaced by the next best placed application in the reserve list whose requested European Commission contribution falls within the available financial envelope. This application will then be examined for the eligibility of its applicant and the partners.

### **2.4 SUBMISSION OF SUPPORTING DOCUMENTS**

The supporting documents listed below are required in order to allow the European Commission to verify the eligibility of the applicants and their partners.

All required supporting documents **for applicants** for this Call for Proposals **must be uploaded** in the PADOR system, with the exception of the Legal Entity File (Annex D) and the Financial Identification Form (Annex E). The deadline for uploading documents is the same as the deadline for submission of the Concept Note (see section 2.2.3). Annex

D and Annex E must be sent with the Concept Note. In case the applicant has been invited to submit a full proposal, then **partners** must upload their supporting documents in PADOR by the deadline for submission of the Full Application Form.

If **Local-NSAs** acting as supporting partners do not have legal personality, they are exempt both from the obligation to register in PADOR and from the requirement to provide supporting documents.

Applicants, requesting a derogation from the obligation to register in PADOR **must send all** required supporting documents to the address indicated in Section 2.2.2 together with the **Concept Note**. If applicants request a derogation from the obligation to register in PADOR for any partner(s), the applicant must send all the supporting documents on behalf of the partner(s) together with the request for derogation, at the latest 21 days before the submission deadline of the Full Application Form.

If the supporting documents are not provided within the deadline above the application may be rejected.

### **Required supporting documents for APPLICANTS**

1. The statutes or articles of association of the organisation. Such documents must prove that the organisation in question meets all the eligibility criteria indicated in section 2.1.1 (i.e. legal existence, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation.
2. If the contribution requested is over €500.000, an external audit report produced by an approved auditor, certifying the accounts for the last financial year available. This obligation does not apply to local authorities and other public bodies.
3. Copy of the latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>9</sup>. This obligation does not apply to local authorities and other public bodies.
4. **Legal Entity File** (see Annex D) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the European Commission, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status has occurred in the meantime. It must be sent with the Concept Note.
5. A **Financial Identification Form** (Annex E) conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This 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 its bank account occurred in the meantime. It must be sent with the Concept Note.

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<sup>9</sup> This obligation does not apply when the accounts are de facto the same documents as the external audit report.

## **Required supporting documents for PARTNER ORGANISATIONS**

### **For Water and Sanitation utilities and Non-State Actors**

- The **statutes or articles of association** of the **organisation**. Such documents must prove that the organisation in question meets all the eligibility criteria indicated in section 2.1.1 (i.e. legal existence, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation.

### **For Local Authorities and public bodies**

- Copy of an **official document** recognizing the organisation as local authority or public body in accordance with the national law.

### **Requirements for all supporting documents:**

Where the required supporting documents are not uploaded in PADOR, they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union, a translation into one of the languages of the Call for Proposals (see Section 2.2.1) of the relevant parts of these documents, proving the applicant's and partner's (s') eligibility, must be uploaded into PADOR in the same electronic file as the original language version (or, in the case of derogation from PADOR registration having been requested, be sent with the supporting documents) and will prevail for the purpose of analysing the proposal.

Where these documents are in an official language of the European Union other than the languages of the Call for Proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's and partner's (s') eligibility, into one of the languages of the Call for Proposals. Where such translation is provided, it must be uploaded into PADOR in the same electronic file as the original language version (or, in the case of derogation from PADOR registration having been requested, be sent with the supporting documents).

## 2.5 NOTIFICATION OF THE EUROPEAN COMMISSION'S DECISION

### 2.5.1 Content of the decision

Applicants will be informed in writing of the CA's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint (see section 2.4.15 of the Practical Guide).

### 2.5.2 Indicative time table

	<b>DATE</b>	<b>TIME*</b>
<b>Deadline for request for any clarifications from the CA</b>	14 <sup>th</sup> September 2010	16:00
<b>Last date on which clarifications are issued by the CA</b>	24 <sup>th</sup> September 2010	
<b>Deadline for submission of Concept Notes</b>	6 <sup>th</sup> October 2010	16:00
<b>Information to applicants on the opening &amp; administrative check (step 1)</b>	Mid-November 2010 *	-
<b>Information to applicants on the evaluation of the Concept Notes (step 2)</b>	January 2011*	-
<b>Invitations for submission of Full Application Form</b>	January 2011*	-
<b>Deadline for submission of Full Application Form</b>	March 2011*	-
<b>Information to applicants on the evaluation of the Full Application Form (step 3)</b>	May 2011*	-
<b>Notification of award (after the eligibility check) (step 4)</b>	May 2011*	-
<b>Contract signature</b>	August 2011*	-

\* **Provisional date.** All times are in Central European Time (CET).

The indicative calendar will be updated during the course of the evaluation procedure on EuropeAid's website:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

## 2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE EUROPEAN COMMISSION'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary will be offered a contract based on the European Commission's standard contract (see Annex G of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case it is awarded a grant, the Contractual conditions as laid down in the Standard Contract.

### 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 Contract.

### **3. LIST OF ANNEXES**

#### **DOCUMENTS TO FILL IN**

**ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)**

**ANNEX B: BUDGET AND SOURCES OF FINANCING (EXCEL FORMAT)**

**ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)**

**ANNEX D: LEGAL ENTITY FILE**

[http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

**ANNEX E: FINANCIAL IDENTIFICATION FORM**

[http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

**ANNEX F: SYNOPSIS FORM (EXCEL FORMAT)**

#### **DOCUMENTS FOR INFORMATION**

**ANNEX G: STANDARD CONTRACT**

See documents from **E3h\_1** to **E3h\_9** at:

[http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

- E3h\_1** SPECIAL CONDITIONS
- E3h\_2** ANNEX II: GENERAL CONDITIONS
- E3h\_3** ANNEX IV: CONTRACT AWARD PROCEDURES
- E3h\_4** ANNEX V: REQUEST FOR PAYMENT
- E3h\_5** ANNEX VI: INTERIM NARRATIVE REPORT
- E3h\_6** ANNEX VI: FINAL NARRATIVE REPORT
- E3h\_7** ANNEX VI: FINANCIAL REPORT
- E3h\_8** ANNEX VII: EXPENDITURE VERIFICATION
- E3h\_9** ANNEX VIII: FINANCIAL GUARANTEE

**ANNEX H: DAILY ALLOWANCE RATES (PER DIEM)**

See: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

**ANNEX I: PROJECT MANAGEMENT GUIDELINES**

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

#### **ANNEXES ATTACHED TO THE PRESENT GUIDELINES FOR GRANT APPLICANTS**

**ANNEX J: LIST OF ELIGIBLE COUNTRIES**

#### **DEROGATION FROM PADOR**

**ANNEX K-A: PADOR APPLICANT DEROGATION PACK**

**ANNEX K-B: PADOR PARTNER DEROGATION PACK**

## ANNEX J: LIST OF ELIGIBLE COUNTRIES

### I. ACP countries where no restrictions apply concerning eligibility of applicants, partners or location of the proposed project(s).

Angola	Ghana	Rwanda
Antigua and Barbuda	Grenada	Samoa
Bahamas	Guinea-Bissau	Sao Tome & Principe
Barbados	Guyana	Senegal
Belize	Haiti	Seychelles
Benin	Kenya	Sierra Leone
Botswana	Kiribati	Solomon Islands
Burkina Faso	Ivory Coast	Somalia
Burundi	Jamaica	St. Kitts-Nevis
Cameroon	Lesotho	St. Lucia
Cape Verde	Liberia	St. Vincent & Grenadines
Central African Republic	Malawi	Suriname
Chad	Mali	Swaziland
Comoros	Marshall Islands	Tanzania
Congo - Brazzaville	Mauritania	Timor-Leste
Cook Islands	Mauritius	Togo
Democratic Republic of Congo	Micronesia, Fed. States	Tonga
Djibouti	Mozambique	Trinidad & Tobago
Dominica	Namibia	Tuvalu
Dominican Republic	Nauru	Uganda
Eritrea	Nigeria	Vanuatu
Ethiopia	Niue	Zambia
Gabon	Palau	
Gambia	Papua New Guinea	

### II. Eligibility of applicants from – and proposed projects in – South Africa, Sudan, Equatorial Guinea, Guinea Conakry, Fiji, Madagascar, Niger and Zimbabwe.

#### **Consequences of non-ratification of the revised Cotonou Agreement in relation to South Africa, Sudan and Equatorial Guinea**

**South Africa, Sudan and Equatorial Guinea** are no longer considered as a signatory party to Cotonou 2005. They do remain party to the 2000 Cotonou Agreement (Cotonou 2000) since Cotonou 2000 has not been repealed by Cotonou 2005. They also continue to be 'ACP States'. Therefore, operators from these three countries (natural or legal persons) remain eligible to participate in procedures for the awarding of procurement contracts or grants under the 10<sup>th</sup> EDF.

The geographic cooperation with **South Africa** is not financed by the EDF, but by the general budget. Under the conditions set out in Protocol 3, South Africa can continue to participate in regional programmes under the 10<sup>th</sup> EDF. As concerns **Sudan** and **Equatorial Guinea**, a participation of these countries in regional or intra-ACP programmes (including the Water Facility) is subject to certain restrictions.

At the time of publication of this call for proposals, the following applies to **South Africa, Sudan and Equatorial Guinea**:

- State actors<sup>10</sup> are not eligible as applicants or partners in any proposal
- Water and sanitation utilities of these countries who are Non-state actors (NSAs) are eligible as applicants, implementing and supporting partners, but the proposed projects must have as beneficiary partner(s) organisations of one or more ACP States which have ratified the 2005 Revision of the Cotonou Agreement.
- Non-state actors (NSAs) of these countries who are not water and sanitation utilities are eligible as supporting partners, but the proposed projects must have as beneficiary partners organisations of one or more ACP States which have ratified the 2005 Revision of the Cotonou Agreement.

**Countries involved in the consultation procedure foreseen under article 96 of the Cotonou Agreement**

The countries involved in the consultation procedure foreseen under Article 96 at the time of publication of this Call for Proposals are **Guinea Conakry, Fiji, Madagascar, Niger and Zimbabwe**. These restrictions are specific to the situation of each of the countries involved, depending on the progress of the consultation process. In general, the restrictions on cooperation do not affect humanitarian aid or direct aid to the people.

At the time of publication of this call for proposals, the following applies to **Guinea Conakry, Fiji, Madagascar, Niger and Zimbabwe**:

- State actors are not eligible as applicants or partners in any proposal.

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<sup>10</sup> State actors – Those actors in the development process who are part of the public administration and directly linked to it (regional, national and local authorities).