



Secretariat of the ACP  
group of states

**Contracting Authority: Secretariat of the ACP group of states**

# **Support for research & development of the sugar sector of the ACP group of States**

ACP sugar research programme  
9<sup>th</sup> European Development Fund

## **Guidelines for grant applicants**

Reference: EuropeAid/130469/C/ACT/ACP

Deadline for submission of proposals: 19 October 2010

## NOTICE

This is an open Call for Proposals, where all documents are submitted at one stage (Concept Note and full proposal). However, in the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants whose Concept Notes have been pre-selected, evaluation of the full proposal will be carried out. Further to the evaluation of the full proposals, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents and the signed "Declaration by the Applicant" sent together with the application.

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# 1. SUPPORT FOR RESEARCH & DEVELOPMENT OF THE SUGAR SECTOR OF THE ACP GROUP OF COUNTRIES

## 1.1 BACKGROUND

The new sugar regime is partly a result of a successful complaint tabled at the World Trade Organisation by Australia, Brazil and Thailand, three major sugar exporters, which had prompted the EU to begin reforming its sugar sector. The gradual introduction of changes in the EU's sugar markets was part of a variety of commercial and legal reasons why the Sugar Protocol agreement had to be reviewed—leading to an erosion of preferences for its exporting ACP members. National economies in ACP Sugar Protocol countries are affected by the removal of guaranteed 'national' quotas and the 36 percent cut in the EU sugar price. Consequently, the EU has offered to support ACP Sugar Protocol countries during a transitional period to last until 2013—releasing a total €1.244bn through a set of Accompanying Measures for Sugar Protocol countries (AMSP).

As a further result, a €13m ACP sugarcane research programme, initially under discussion in 2003, was updated, adapted and agreed on in December 2007, to support ACP Sugar Protocol countries in the process of adapting their sugar industries to the new trading conditions, once EU sugar reforms will have been completed—strengthening their resilience and improving competitiveness.

In order to achieve higher levels of sector-wide efficiency, the sugar industry in nearly all ACP countries needs to implement new practical solutions in response to declining competitiveness. This can only be provided by serious research and development programmes—something that has long been neglected in the past because of unfavourable circumstances.

This ACP sugarcane research programme (EUR 13 Mio) foreseen direct awards of grants with ACP sugar research institutions (for around EUR 11 Mio) together with the present call for proposals (EUR 800 000) to finance new sugar cane research and innovation projects.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of the ACP sugarcane research programme and of this call for proposal is to enhance the capacity for sugar industries in ACP countries to make the transition to a deregulated sugar market - that offers fewer preferences - and take advantage of its opportunities. The research programme will contribute:

- To ACP economies' capacities to continue benefiting from a performing sugar industry, by enhancing its competitiveness;
- To promote agricultural research as a tool for development.

The ACP sugarcane research programme will provide solutions to the sugar industry in ACP countries, by responding to a selected number of clearly identified technological challenges that hamper the sugarcane sector's performance.

The **specific objective** of this Call for Proposals is to complement the ACP Sugar research programme with additional operations, not already implemented in the programme, and to provide R&D solutions in the following areas:

- Theme 1: Science, technology and innovation in field production improvement (Agronomic practices; Land preparation; Harvesting; Environmental concerns etc.):

Results are expected with an increase in the quantity of cane produced per unit area, improved quality of canes delivered to factories, improved working conditions and increased farmers' income.

- Theme 2: Science, technology and innovation in factory operation improvement. (Cane payment; Cane storage; Cane preparation; Effluent etc.)

Results are expected in the scope of the improvement of the quality of cane delivered, the measure of this quality and its enhancement in the scope of yield improvement of the factories' technologies, effluent management and the environment protection around the sugarcane factories.

- Theme 3: Co-products (fuel, chemistry etc.) development (New markets; speciality sugars, packaged sugars, syrups both plain and flavoured; organic canes; fuel canes; ethanol from juices and from bagasse ; other chemicals; Electricity generation etc.).

Over the last three decades there has been a proliferation of non-sucrose sweeteners and other sugars on the market. However, new markets have emerged that the sugar industry can access. The production of speciality sugars, packaged sugars in various sizes, colours and shapes, syrups both plain and flavoured, is being done by industries in the USA and South Africa and should be explored.

A cross-cutting objective of the call for proposal is to strengthen the capacities of the ACP sugar research centres or R&D institutions involved in the sugarcane sector.

**Priorities** of the call for proposals (will be used as benchmarks for evaluating the proposals)

- Novelty and innovation: Proposals should be original.
- Value added: The value added must be significant in terms of knowledge, economic benefits, sugarcane commodity chain strengthening, etc.
  - Strengthening of local R&D institutions/organisations. Any projects should include the strengthening of local institutions/organisations. If the applicant is not an ACP organisation, the proposal should take this issue into account and include local institutions as partners or associates.
  - Regional or local impacts: Actions with regional impacts will be preferred compared to Actions with only local impacts.
    - Interagency collaborations: Work in collaboration with other research partners will be appreciated as well as proposals that will host students or foreign researchers or partners.
    - Involvement of other commodity chain stakeholders.
    - Cofinancing: A project with cofinancing from other donors will be appreciated (the higher the cofinancing rate, the better project will be rated).
    - Efficiency: Applicants are also invited to take account the possible complementarity with other possible actions in the same area and financed by other donors. In addition, the project should be consistent with relevant sectoral policies.
    - Sustainability: Mechanisms should be put in place to ensure the sustainability of actions once the financing of the European Development Fund will end.

### **1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

The overall indicative amount made available under this call for proposals is EUR 800 000. The Contracting Authority 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: EUR 100 000
- maximum amount: EUR 600 000

A grant may not be for less than 50% of the total eligible costs of the action.

In addition, no grant may exceed 95% 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 Union budget or the European Development Fund.

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

### 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 involved in the sugarcane research sector and have proven experience in ACP countries **and**
- Be nationals<sup>1</sup> of a Member State of the European Union or of a Member State the ACP group of countries **and**
- Be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

(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 EC 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 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.

#### 2.1.2 *Partnerships and eligibility of partners*

Applicants may act individually or with partner organisations.

##### 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. They must therefore satisfy the eligibility criteria as applicable on the grant beneficiary himself.

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<sup>1</sup> 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 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.

**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").

<i>2.1.3 Eligible actions: actions for which an application may be made</i>
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Definition: An Action (or project) is composed of a set of activities.

Duration

The planned duration of an action may not be lower than 24 months nor exceed 47 months.

Sectors or themes

Research and development in the sugarcane sector.

Location

Actions must take place in one or more of eligible ACP countries

Types of Action

This call for proposal covers three themes. Each Action must contribute to one of these themes, but the purpose of the Action may be larger:

- **Theme 1: Science, technology and innovation in field production improvement**

Research or R&D Actions intended to reach the increase of the quantity of cane produced per unit area, improve the quality of canes delivered to factories and improve working conditions and increase farmers' income. The following have been identified as key issues for the sector:

(i) Agronomic practices: For increased productivity, agronomic practices irrigation, weed control and fertilizer application must be employed in a timely fashion. Soil and leaf analysis should be widely carried out and fertilizer recommendations adhered to closely. Cane yield surveys and return on investment studies should be routinely carried out. The implementation of GIS technology in land surveying, field layout and boundary mapping, irrigation and drainage can also be encouraged as these have proven to be cost-effective.

(ii) Land preparation: In Australia, double row planting is carried out resulting in increased field productivity. Minimum tillage has been used in Jamaica and elsewhere to reduce land preparation costs and to speed up the process of preparing the fields for planting. Research shows that this technology is beneficial to cane growth resulting in increased tonnages and is also quite cost-effective.

(iii) Harvesting: Harvesting of sugarcane is either manual requiring significant labour input or mechanical, using harvesters. Whether manual or chopper-harvested methods are employed, the harvesting must be carried out in an efficient manner and standards adhered to that will result in fresh cane, free of extraneous matter, being transported to the factory. Full mechanization should be explored when: labour costs are high

and labour output is low, there is a shortage of labour or in cases when social dislocation would be minimal and economic and efficiency gains will be high. In addition, land topography and field lay-out must be able to support full mechanization. There are problems associated with the use of mechanical harvesters as this method usually results in increased extraneous matter, stools and excess tops being taken to the factory which can adversely affect processing (Rein, 2005). The extra material puts pressure on the rollers and increases the rate at which they wear and the tons cane per ton sugar conversion is also increased.

(v) Environmental concerns: New environmental regulations in most cane growing countries will eventually lead to a ban on the burning of canes. This will result in added difficulties for cane cutters as they will be required to cut through trash that would have been burnt. The added trash blanket will slow the re-growth of the canes and can prevent fertilizers from getting to the root of plants. What are the options for dealing with this potential problem? The trash has calorific value and can be burnt at the boilers if an economical way can be found to collect, compact, and transport it to the factory.

▪ **Theme 2: Science, technology and innovation in factory operation improvement**

Research or R&D Actions intended to the improvement of the quality of cane delivered, the measure of this quality and its enhancement in the scope of yield improvement of the factories' technologies, effluent management and the environment protection around the sugarcane factories. The following have been identified as key issues for the sector:

(i) Cane payment: The practice of paying for canes by the tonnage has been replaced by payment for canes using quality parameters such as POL and BRIX (sucrose content) and this has resulted in laboratories being set up to sample cane on arrival at the factories. This emphasis on payment based on quality parameters could result in better quality canes reaching the factory.

(ii) Cane storage: Canes, once they arrive at the factory, should be transferred to the milling stations without storing and so some industries for example those in USA, no longer use traditional cane yards. In Jamaica, this practice has been introduced at one factory and at the others stringent measures have been implemented to ensure that canes brought in are milled first to reduce or totally eliminate staling at the factory. Ideally there should be little or no storage of canes at the factory since this can result in staling. Consequently, the sugar produced from these canes that are high in dextrans and other degradation products of sucrose attract heavy penalties from the refineries.

(iii) Cane preparation: Some modern factories employ diffusion technology for the extraction of sugar from the cane. At most mills extraction of the juice is done by crushing the canes and passing through a series of roll mills. Mill sanitation could be critical in preventing and/or reducing bacterial growth and the use of chemicals such as biocides is routine at all sugar factories. Bacterial growth is evidenced by increase in viscosity of the juice with resulting massecuites (mixture of molasses and sugar) which are difficult to process and give rise to low boiling house efficiencies

(iv) Effluents: The control and monitoring of effluents leaving the sugar factory is crucial in order to meet new and existing environmental regulations. Air as well as wastewater quality now need to be monitored periodically to ensure that environmental standards are observed.

For decades, the toxic chemical lead subacetate was used to clarify juice and sugar solutions for POL analysis which provides an indication of sucrose content. With new environment regulations, it has become necessary to find non-toxic substitutes.

Advancements in analytical techniques for polarimetric measurements have shown the use of NIR technology could be a solution.

▪ **Theme 3: Co-products (fuel, chemistry etc.) development**

Research or R&D Actions intended to promote the production of speciality sugars, packaged sugars in various sizes, colours and shapes, syrups both plain and flavoured and Actions oriented to the production of ethanol from bagasse and action intended to the production of other chemicals.

The following have been identified as key issues for the sector:

(i) The growing of organic canes should be explored by small holdings as this offers good returns and can be more profitable for small farms. Guyana is presently marketing organic sugar.

(ii) The high price for fossil fuel and the pressure put on Governments by environmentalists has resulted in more countries introducing regulations for the addition of ethanol to gasoline for the transportation industry. Therefore the production of ethanol can provide a well needed lifeline to the sugar industry. Much research is being done to convert the bagasse to ethanol and other chemicals which have greater market value.

(iii) Electricity generation through cogeneration by some industries might be profitable and should be explored if large modern facilities are being built.

#### Types of activity

- Research and development activities;
- Development of the knowledge and capacity of individuals and organisations (research centres, groups of farmers, factories);
- Development of organisations and/or systems/networks of organisations;
- Support and improvement of the institutional frameworks, sectoral policies or other informal norms which set the functioning of individuals and organisations;
- Feasibility studies of new commodity chains (ethanol, chemicals...);
- Capacity building of the research institutions.

Each Action proposed should provide (in the description of action and budget) one annual mission to Brussels (1 person, 4 days) to attend a seminar / conference to be organized by the secretariat of the ACP group and aiming at providing training, exchange about good practices and / or networking between research institutions participating in the ACP Sugarcane Research Programme.

#### The following types of action are ineligible

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses.

#### Number of applications and grants per applicant

An applicant may submit more than 1 application(s) under this call for proposals.

An applicant may be awarded more than 1 grant(s) 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.

<b>2.1.4</b> <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. 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 Contracting Authority 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 F 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 Contracting Authority.

### 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 EU budget no indirect costs may be claimed within the proposed budget for the action.

### Contributions in kind

Contributions in kind are not considered actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary.

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 by the beneficiary 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;
- credit to third parties.

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

Prior registration in PADOR for this Call for proposal is possible but not obligatory.

PADOR is an on-line database in which organisations register themselves and update regularly their data, through the Europeaid website: [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

Before starting the registration of your organisation in PADOR, please read the "Quick guide" available on the website. It explains the registration process.

You have to indicate on the paper version of the proposal the EuropeAid ID (EID). To get this identification, your organisation must register, save and "sign" (committing your responsibility) in PADOR obligatory data (on each screen the fields written in orange) and the related documents (see section 2.2.1).

Applications must be submitted in accordance with the instructions on the Concept Note and the Full application form included in the Grant Application Form annexes to these Guidelines (Annex A)

Applicants must apply in English or French .

Any error or major discrepancy related to the points listed in the instructions on the Concept Note 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 application.

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

Hand-written applications will not be accepted.

Please note that only the application form and the published annexes which have to be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. No additional annexes should be sent.

## **SUPPORTING DOCUMENTS**

All Applicants are requested to supply the following documents together with their Grant Application Form in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners:

Supporting documents may be provided through PADOR, see section 2.2.

1. The statutes or articles of association of the applicant organisation<sup>2</sup> and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: 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.<sup>3</sup>
2. Where the grant requested exceeds EUR 500 000, an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.  
This obligation does not apply to public bodies.  
This obligation does not apply to secondary and higher education establishments.
3. 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)<sup>4</sup>.
4. Legal entity sheet (see annex D of these Guidelines) 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 Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.
5. A financial identification form 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

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<sup>2</sup> Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

<sup>3</sup> Provided the eligibility conditions have not changed from this call for proposals to the present one.

<sup>4</sup> This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.2.1.

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.

Where the requested 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. However, the Legal entity sheet and the financial identification form must always be submitted in original.

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 of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than one of 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 eligibility, into one of the languages of the call for proposals.

### 2.2.2 *Where and how to send the Applications*

Applications must be submitted in one original and 5 copies in A4 size, each bound. The complete application form (part A: concept note and part B: full application form), budget, logical framework and supporting documents must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version enclosed.

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

Where an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one has to 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".

Applications must be submitted in a sealed envelope by registered mail, private 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

ACP group of States Secretariat  
Département - DEVELOPPEMENT ECONOMIQUE DURABLE ET COMMERCE  
451 Avenue Georges Henri  
1030 Brussels  
Belgium

#### Address for hand delivery or by private courier service

ACP group of States Secretariat  
Département - DEVELOPPEMENT ECONOMIQUE DURABLE ET COMMERCE  
451 Avenue Georges Henri  
1030 Brussels  
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 V of part B of the grant application form). Incomplete applications may be rejected.**

### 2.2.3 *Deadline for submission of Applications*

The deadline for the submission of applications is 19 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 local time (Brussels) as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of the first evaluation step (i.e. Concept Note) (see indicative calendar under section 2.4.2)

### 2.2.4 *Further information for the Application*

Questions may in addition be sent by e-mail no later than 21 days before the deadline for the submission of applications to the below address, indicating clearly the reference of the call for proposals:

E-mail address: [coord.unit@acp-srp.eu](mailto:coord.unit@acp-srp.eu)

Contracting Authority 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 applications.

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

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> and [www.acp-srp.eu](http://www.acp-srp.eu). It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

All questions related to PADOR registration should be addressed to the PADOR helpdesk: [europeaid-on-line-registration-hd@ec.europa.eu](mailto:europeaid-on-line-registration-hd@ec.europa.eu).

## 2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria:

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the application shall be rejected on this sole basis.

## (1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK

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 Application Form satisfies all the criteria specified in points 1-5 of the Checklist (section V 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 Contracting Authority 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 Contracting Authority reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of applications are received) and to go straight to the evaluation of the corresponding full applications.

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.

	Scores	
<b>1. Relevance of the action</b>	Sub-score	15
1.1 Relevance of the action 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)*	
<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 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, if applicable, proposed partners.	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 identification of long-term sustainable impact on the target groups and final beneficiaries.	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 sum of requested contributions amounts to twice the available budget for this Call for proposals, taking into account the indicative financial envelopes foreseen by lot. The Evaluation Committee will subsequently proceed with the applicants whose proposals have been pre-selected.

### **(3) STEP 3: EVALUATION OF THE FULL APPLICATION**

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 partners 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 Contracting Authority can be confident will comply with its objectives and priorities and guarantee the visibility of the EDF financing (see [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)). 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.

## Evaluation Grid

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicant and, if applicable, partners have sufficient <b>experience of project management</b> ?	5
1.2 Do the applicant and, if applicable partners have sufficient <b>technical expertise</b> ? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and, if applicable, partners 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>objectives</b> and one or more of the <b>priorities</b> of the call for proposals? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least <b>one priority</b> . 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 and equal opportunities...	5 x 2
2.2 How relevant to the particular <b>needs and constraints</b> of the target country/countries or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication.)	5
2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, <b>target groups</b> )? Have their <b>needs</b> been clearly defined and does the proposal address them appropriately?	5 x 2
<b>3. Methodology</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, does it reflect the analysis of the problems involved, take into account external factors and anticipate an <b>evaluation</b> ?)	5
3.3 Is the partners' and/or other stakeholders' level of involvement and participation in the action satisfactory?	5
3.4 Is the <b>action plan</b> clear and feasible?	5
3.5 Does the proposal 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 its target groups?	5
4.2 Is the proposal likely to have <b>multiplier effects</b> ? (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 <b>sustainable</b> : - 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> )? - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	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, the 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.

#### **(4) STEP 4: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS**

The eligibility verification, based on the supporting documents provided (see section 2.2.1) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section VI 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 that falls within the available financial envelope, which will then be examined for the eligibility of its applicant and the partners.

Based on the verification of the supporting documents by the Evaluation Committee it will make a final recommendation to the Contracting Authority which will decide on the award of grants.

## **2.4 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION**

### *2.4.1 Content of the decision*

Applicants will be informed in writing of the Contracting Authority'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 further section 2.4.15 of the Practical Guide.

## 2.4.2 Indicative time table

	<b>DATE</b>	<b>TIME*</b>
<b>Information meeting (if any)</b>	Not applicable	Not applicable
<b>Deadline for request for any clarifications from the Contracting Authority</b>	28 September 2010 (21 days before the submission deadline)	
<b>Last date on which clarifications are issued by the Contracting Authority</b>	8 October 2010 ( 11 days before the submission deadline)	-
<b>Deadline for submission of Application Form and Supporting documents</b>	19 October 2010	16:00 (Brussels)
<b>Information to applicants on the opening &amp; administrative check (step 1)</b>	November 2010*	-
<b>Information to applicants on the evaluation of the Concept Notes (step 2)</b>	November 2010*	-
<b>Information to applicants on the evaluation of the Full Application Form (step 3)</b>	November 2010*	-
<b>Notification of award (after the eligibility check) (step 4)</b>	November 2010*	-
<b>Contract signature</b>	Before mid-December 2010*	-

\***Provisional date.** All times are in the time zone of the country of the Contracting Authority

## 2.5 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard contract (see Annex F of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case where 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 BE COMPLETED**

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)

ANNEX E: FINANCIAL IDENTIFICATION FORM

#### **DOCUMENTS FOR INFORMATION**

ANNEX F: STANDARD CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: CONTRACT AWARD PROCEDURES
- ANNEX V: STANDARD REQUEST FOR PAYMENT
- ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT
- ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EÜ FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL FINANCIAL GUARANTEE

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

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

PROJECT CYCLE 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)