# Manual

## for the preparation of

## a grant application for the

# ACP Science and Technology Programme

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**ACP-EU co-operation programme in science and technology**

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# 1. Introduction

This Manual should be read in conjunction with the **'Grant Application Form'** and the **'Guidelines for Grant Applicants'** for the Call for Proposals which was published in November 2008 on the Websites of the ACP Science and Technology Programme, the ACP Secretariat and EuropeAid. Its purpose is to provide additional information on how to fill in the 'Grant Application Form' and related documents, and to guide applicants through the proposal development, drafting, submission and evaluation process. It cannot and does not attempt to answer all the questions applicants may have. We, therefore, encourage you to address questions you do not find answered in this Manual to the Programme Management Unit and also to regularly check the FAQ section (Frequently Asked Questions) on the Website of the ACP Science and Technology Programme.


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This Manual has been prepared by the Programme Management Unit (PMU) of the ACP Science and Technology Programme, which has sole responsibility for its contents. It can in no way be taken to reflect the views of the ACP Secretariat or the European Union. In case of discrepancies between information given in this Manual and in the 'Guidelines for Grant Applicants', the English version of the latter is the binding document.

# 2. THE ACP SCIENCE AND TECHNOLOGY PROGRAMME IN BRIEF

**The ACP Science and Technology Programme is an ACP-EU co-operation programme that started its operation in June 2008. Promoting intra-ACP co-operation, it contributes to building capacity through networks of institutions in the ACP region by funding partnership projects to be selected from a public Call for Proposals, which is open to all 79 member states of the African, Caribbean and Pacific Group of States (ACP), the 27 member states of the European Union (EU), the 3 EU candidate countries, and the 3 member states of the European Free Trade Association (EFTA) that belong to the European Economic Area (EEA). It is implemented by the ACP Secretariat with funding from the European Union.**

### *OBJECTIVES*

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

The **purpose** is to strengthen the internal S&T capacity of ACP countries to support research, development and innovation in the ACP region at three levels:

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

The Programme promotes interdisciplinary approaches to sustainable development along three main axes:

- Co-ordination and networking in applied research.
- Instruments for collaborative research.
- Management of research activities and reinforcement of research.

### *TYPES OF PROJECTS*

The projects to be funded should primarily focus on:

- **Quality health care:** traditional and biodiversity-dependent community medicines; biotechnology.
- **Environmental research activities:** climatic variability, loss of biodiversity, deforestation, desertification and rising sea levels; indigenous technology; adaptation of foreign technology.
- **Energy:** renewable sources of energy.
- **Transport:** congestion, air pollution; accidents.
- **Agriculture and agro-industry:** food productivity and security; agro-products; farmers' participation in production and post-harvest management.
- **Sustainable trade:** private sector; trading capacity of ACP countries; socio-economic impact of international trade agreements and protocols on sustainable development.

### *EXPECTED RESULTS*

The **expected results** of the ACP Science and Technology Programme are:

- Networks established or consolidated at intra ACP-level with linkages to international networks.
- Increased capacity to assess research needs to facilitate the formulation and implementation of research policies.
- Increased capacity and incentives to research network partners to prepare and submit project proposals to funding, including for example the EC's 'Seventh Framework Programme for research and technology development' (FP7).
- Research results better capitalized and disseminated.
- Quality of research results improved.

## *APPLICATION PROCEDURE*

### *Call for Proposals*

- For the period 2008-2013, there is one Call for Proposals scheduled with a total budget of **€ 33 million**.
- The proposal submission deadline is **27 February 2009**.

### *Allocation of funds by lot*

The overall indicative amount for this Call for Proposals is EUR 33.000.000, of which:

- EUR 28,000,000 is made available from the 9th EDF (European Development Fund).
- EUR 5,000,000 from the EC budget line 21.03.17 'European Programme for Reconstruction and Development' (EPRD), the development co-operation programme between the EC and South Africa.

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

- Lot 1 – EDF – concerns the € 28 million EDF contribution. Members of the partnership must belong to one of the 79 ACP States or one of the 27 EU Member States (this obligation does not apply to international organisations).
- Lot 2 – BUDGET – concerns the € 5 million EC budget line 21.03.17 contribution. Members of the partnership must belong to one of the 79 ACP States, one of the 27 EU Member States, one of the 3 EEA / EFTA Member States or one of the official EU candidate countries (this obligation does not apply to international organisations).
- Institutions from Cuba and the Overseas Countries and Territories (OCT) may only participate in projects as associates, and cannot be final beneficiaries of the project.

### *Size of grants*

- Projects may request a grant between **€ 350,000** and **€ 1 million**.
- In exceptional cases, projects may request a grant up to **€ 3 million** when project activities take place in each one of the six ACP regions and when these contribute to regional, interregional or intraregional S&T policies.
- The Programme contribution will cover up to a maximum of **85%** of the total eligible project costs.

### *Duration*

- The duration of a project should be between 1 and 3 years.

### *Evaluation and selection*

- Proposals will be evaluated by an Evaluation Committee with regard to their quality and relevance.
- The final decision on the selection of projects for financing will be made by the ACP Secretariat subject to the approval of the European Commission.

All information about this Call for Proposals, the application documents and the guidelines for applicants, can be consulted at: **www.acp-st.eu.**

## *WHO CAN APPLY*

Organisations that are interested to apply for a grant under this Call must belong to one of the following categories:

(a) ACP national or regional S&T organisations, research institutions, universities, ministries or public institutions dealing with research policies, ACP national research networks, relevant civil society or private sector actors or similar EU actors partnering with ACP counterparts.

(b) Regional S&T institutions, with separate legal status, not belonging to any national system but formally recognised by one of the eligible countries.

(c) Established ACP S&T networks provided that: all its members and headquarters are located in eligible countries; they have a legal status; they are applying in its own right; and they have been registered for a minimum of 2 years.

(d) Regional or inter-State bodies to which one or more ACP States belong, including bodies with non-ACP State members, which are authorised by those ACP States.

The organisations must belong to one of the 79 ACP Member States, the 27 Member States of the EU, the 3 EU Candidate countries, or the 3 EEA EFTA States (see table below). **NB:** This obligation does not apply to international organisations:

| African, Caribbean and Pacific Countries | | | | | |
|---|---|---|---|---|---|
| ***Eastern Africa*** | ***Central Africa*** | ***Western Africa*** | ***Southern Africa*** | ***Caribbean*** | ***Pacific*** |
| Burundi<br>Comoros<br>Djibouti<br>Eritrea<br>Ethiopia<br>Kenya<br>Madagascar<br>Mauritius<br>Rwanda<br>Seychelles<br>Somalia<br>Sudan<br>Tanzania<br>Uganda | Cameroon<br>Central African Republic<br>Chad<br>Congo<br>Dem. Republic of Congo<br>Equatorial Guinea<br>Gabon<br>Sao Tome & Principe | Benin<br>Burkina-Faso<br>Cape Verde<br>Côte d'Ivoire<br>Gambia<br>Ghana<br>Guinea<br>Guinea Bissau<br>Liberia<br>Mali<br>Mauritania<br>Niger<br>Nigeria<br>Senegal<br>Sierra Leone<br>Togo | Angola<br>Botswana<br>Lesotho<br>Malawi<br>Mozambique<br>Namibia<br>South Africa<br>Swaziland<br>Zambia<br>Zimbabwe | Antigua and Barbuda<br>Bahamas<br>Barbados<br>Belize<br>Dominica<br>Cuba<br>Dominican Republic<br>Grenada<br>Guyana<br>Haiti<br>Jamaica<br>Saint Kitts and Nevis<br>Saint Lucia<br>Saint Vincent and Grenadines<br>Suriname<br>Trinidad and Tobago | Cook Islands<br>Fiji<br>Kiribati<br>Marshall Islands<br>Micronesia<br>Nauru<br>Niue<br>Palau<br>Papua New Guinea<br>Samoa<br>Solomon Islands<br>Timor Leste<br>Tonga<br>Tuvalu<br>Vanuatu |
| **European Union** | | | | | |
| Austria<br>Belgium<br>Bulgaria<br>Cyprus<br>Czech Republic | Denmark<br>Estonia<br>Finland<br>France<br>Germany | Greece<br>Hungary<br>Ireland<br>Italy<br>Latvia | Lithuania<br>Luxembourg<br>Malta<br>Netherlands<br>Poland | Portugal<br>Romania<br>Slovakia<br>Slovenia<br>Spain | Sweden<br>United Kingdom |
| **EU candidate countries** | | | | | |
| Croatia | Former Yugoslav Republic of Macedonia | | | Turkey | |
| **European Economic Area - European Free Trade Association (EEA EFTA) states** | | | | | |
| Iceland | Liechtenstein | Norway | | | |

The organisations must operate within a partnership:

– A partnership involves at least 3 organisations from at least 2 different ACP Member States. **NB:** Established ACP S&T networks and regional ACP inter-state bodies are considered partnerships in themselves and are not obliged to form alliances with others. Networks, however, have to be multinational.

– The number of non-ACP partners in a partnership cannot be greater than the number of ACP partners.

Preference will be given to partnerships where the lead institution is an ACP partner or to partnerships composed exclusively of ACP partners, over those not fulfilling these criteria if at a certain stage of the evaluation process they receive the same scores.

For further information about the ACP Science and Technology Programme, please consult the Website**:** **www.acp-st.eu** or contact the Programme Management Unit by e-mail: **info@acp-st.eu** or by Fax: **+32-2-280.1406**

# 3. Before starting to complete the Grant Application Form

### 1. Familiarise yourself with the ACP Science and Technology Programme

Read the information provided on the Website of the ACP Science and Technology Programme. Here you will find answers in the section 'Frequently Asked Questions' which may cover some of your own questions. If possible, attend one of the Information Days for applicants the ACP Secretariat will organise in the ACP and EU regions. The dates will be communicated in due time on the Website.

### 2. Make sure that you are familiar with the objective and purpose of the ACP Science and Technology Programme

Read the previous chapter 'The ACP Science and Technology Programme in brief'. It explains in a few sentences the objective and purpose of the Programme and the results the Programme hopes to achieve. They should be reflected in your proposal.

Read also carefully Section 1 of the 'Guidelines for Grant Applicants', in particular Section 1.1 which explains the background of the Programme. You are strongly encouraged to consult the policy documents and other S&T initiatives that are referred herein. Relevant components hereof should be reflected in your proposal.

Remember that your project should, apart from achieving its own objectives, also fit well in the context of the Programme and take part in achieving the objectives of the Programme. It is, therefore, very important for the Programme and towards the financing sources that the projects to be financed are linked to the above and other relevant policies.

### 3. Study thoroughly the type of projects and participants the ACP Science and Technology Programme may support

Read the previous chapter 'The ACP Science and Technology Programme in brief' and the 'Guidelines for Grant Applicants'. It explains the scope, the main axes and the priority areas where the Programme is focused on, as well as the type of organisations that can apply for a grant. These eligibility criteria must be met in your proposal.

Ensure that your proposal is an additional activity to existing funding programmes and that it is in synergy with other initiatives at national, regional or global level.

Bear in mind that your proposal must contribute to *"… the creation or strengthening of frameworks for regional and sub-regional co-operation and of inter-institutional co-operation in the ACP region in the field of science and technology"*. More precisely, this concerns *"… building and enhancing strong scientific and technological capacity to support research, development and innovation in the ACP region, and enabling the identification and formulation of activities or policies that are critical to sustainable development"*.

### 4. Follow the Guidelines for Grant Applicants to the letter

These Guidelines describe the background of the Programme, the application procedure and how to fill in the 'Grant Application Form'.

**Where to find the Guidelines?**

a. - Go to **www.acp-st.eu**

b. - Choose your language

c. - Click on the section 'How to apply?'

In various parts of the Guidelines, a reference is made to specific documents from the European Commission. You are strongly encouraged to consult these documents and apply the described rules and criteria in your proposal, For a quick reference, these documents are also assembled in Chapter 7.4 of this Manual.

**5. From the very beginning, be aware of the deadline for submission**

Prepare a work plan for the completion of your proposal, where you plot the essential activities to be undertaken and the milestones to be achieved against a strict time schedule. You should include here, among others:

- the topic of your proposal;
- the partners with whom to collaborate and their agendas;
- the organisation of meetings with partners (dates, location, contents);
- the identification of who you need to write the proposal and the assurance to have them made available;
- the design and subsequent supervision of a schedule for the proposal development stages (production of the proposal concept, outline and sections, and drafts; information search; sharing of text parts; editing; etc.);
- the inclusion of review moments (proof reading and quality assurance); and
- the finalisation of the proposal (obtaining the required signatures, checking the full set of documents to be submitted, timely submission),

The proposal development process should start as early as possible to allow all partners enough time to provide input into the drafting of the proposal, to be involved in the process to decide on priorities and needs, and to send some original documents to the Applicant (re: 'Partnership Statement': Part B, Section III.2 of the 'Grant Application Form')

Be sure to include some slack time – unforeseen things will inevitably happen.

**6. Choose the language for proposals**

Proposals can only be submitted either in English or in French. These are the languages predominantly used by the evaluators.

**7. Take into account that the evaluators are the first target group for your proposal**

Bear in mind that the evaluators are the persons who will read and assess your proposal. Although carefully selected, they have different backgrounds and may not be specialists on the topic of 'your' proposal. So put yourself in the evaluators' position: while everything in your proposal is so obvious for you as the author, it is not necessarily so for the evaluators, who will only see the information you provide.

**8. Be aware that the evaluation will not be carried out under 'luxury' conditions**

Evaluators have to work their way through a large number of proposals under strong time pressure. They will not have the time to read your proposal more than once. So make sure that this one reading is enough for them to correctly understand it.

**9. Be aware that the evaluators have to make their choice among many excellent proposals**

A Call for Proposals and its evaluation is a competitive process. Only the best ones will finally be selected, because of the limited amount of funding available. This does not mean that the remainder are poor proposals – they are just less good. Therefore, you cannot afford any weakness in your proposal: **<u>all</u>** parts of it must be of excellent quality.

**10. Take notice of the various steps in the Call for Proposals**

Step 1. Become acquainted with the ACP Science and Technology Programme. Ensure that this Call for Proposals matches your interest in promoting Science and Technology in the ACP region.

Step 2. Obtain call-specific documentation and forms. The ACP Secretariat publishes a separate information package which includes the ‘Grant Application Form’ and the accompanying ‘Guidelines for Grant Applicants’ that offers practical advice for preparing and submitting proposals under this Call for Proposals. Follow strictly the rules on how to complete the application form and related documents.

Step 3. Establish a consortium of partners. The Applicant must recruit partners to form a consortium capable of undertaking all aspects of the intended project. Partners may be identified through established networks or the Partner Search service available on the ACP Science and Technology website.

Step 4. Prepare a proposal. Proposers must use the ‘Grant Application Form’ and submit this together with the required related documents.

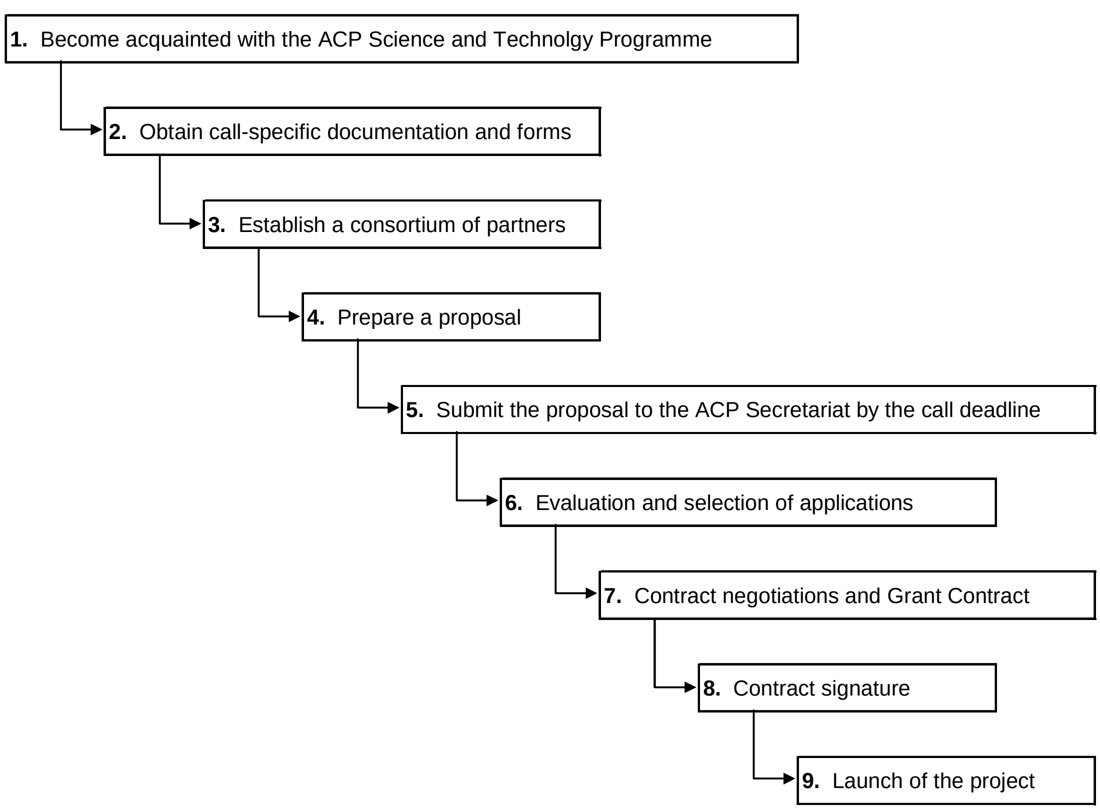
Step 5. Submit the proposal to the Programme Management Unit (PMU) of the ACP Science and Technology Programme. The deadline for submitting the application in the Call for Proposals is clearly stated on the first page of the application and the guidelines. Applications submitted after the deadline are ineligible.

Step 6. Evaluation and selection of applications. All project proposals will be evaluated by an Evaluation Committee.

Step 7. Contract negotiations and Grant Contract. The terms and conditions regulating the selected projects are contained in two documents: (a) the formal Grant Contract between the consortium and the ACP Secretariat, and (b) the Consortium Agreement between the partners and signed by them only.

Step 8. Contract signature.

Step 9. Launch of the project. The project starts its implementation.



# 4. SOME CRITERIA FOR A SUCCESSFUL APPLICATION

### 1. Strictly follow the rules and provisions of the Call for Proposals

When filling in the 'Grant Application Form', strictly respect the rules as explained in this form, in the 'Guidelines for Grant Applicants' and in this Manual. Do not leave out or add any chapters or change their sequence. Above all, respect the limitations to the number of pages that are indicated for some sections. Make sure to send all required documents in time and to the right address and do not annex unrequired documents.

The 'Grant Application Form' is not specifically designed for the ACP Science and Technology Programme. The European Commission uses the same form as a basis for many different types of programmes. At certain points you may, therefore, not be entirely sure how to complete it. In this case, if you do not find an explanation in this Manual, first consult the Frequently Asked Questions on the Website of the ACP Science and Technology Programme. If you still cannot find an explanation there, you can always contact the PMU of the ACP Science and Technology Programme and ask for clarifications.

### 2. Study the different documents you have to complete

The proposal application that you submit consists of the following mandatory documents – available in Microsoft Word or Microsoft Excel format:

- Grant Application Form, which includes a Part A (Concept Note) and a Part B (Full Application Form);
- Budget (worksheet 1 'Budget', and worksheet 2 'Sources of funding');
- Logical Framework;
- The 'Checklist' and the 'Declaration by the Applicant' (Part B Section V respectively Section VI of the Grant Application Form).

Familiarise yourself with the required contents you have to provide.

### 3. Read carefully the evaluation and selection procedure

Before you start writing your proposal, read carefully through the evaluation and selection procedure in the 'Guidelines for Grant Applicants'. It shows which issues the evaluators will look at, what the various steps are a proposal can undergo, and what the maximum scores are for certain sections. Taking this procedure into consideration should help you in sharply focusing on the contents to be drafted for your proposal.

### 4. Find a good title for your project

The title of your project should be concise and self-explanatory in view of the proposed Action.

### 5. Draft a convincing Concept Note

We cannot stress it enough: Overcoming the first hurdle on the way to success of your proposal depends on the quality of your Concept Note. You have to convince the evaluators in just 4 pages to recommend your application for further evaluation. So what you say must be well-structured, concise, and complete!

### 6. Make a thorough analysis of the background of your project

This analysis will lay the foundation for the Action you propose. It must identify the essential problem areas; define target group(s) and stakeholders, and links and complementarities with other initiatives. This must be done in such a way that the activities you plan to undertake and the solutions you propose follow logically from this analysis. If you start the preparation of your proposal with the Logical Framework (see Chapter 6.3 of this Manual), as we strongly suggest, you will automatically be led to performing this background analysis.

### 7. Identify clear objectives, methods and results

Show that you have a clear idea of your project; that you know exactly what the intention is, what to do, how to do it, why, and what will come out of it. Again, the Logical Framework Analysis will help you structure your ideas and check their logic.

### 8. Develop a well-structured work plan

Show in your work plan that you have a realistic view of the sequence and timing of the activities to be undertaken in the performance of the project, the inputs required at each point and the results you expect to achieve. Be honest about possible constraints and make appropriate provision for them in the work plan.

### 9. Make sure to have an appropriate project cycle management

Your proposal should contain convincing methods for the follow-up and evaluation of your project, should it be selected. This includes a good definition of objectively measurable indicators. To help you with this definition, we recommend you to consult Chapter 6.3 of this Manual (the Logical Framework). Remember that if your project is selected for financing, you will be expected to report regularly on its progress. Monitoring and evaluation of your project should, therefore, be embedded as an essential activity into the very fabric of the work plan.

### 10. Calculate a realistic budget

The budget must be expressed in Euros (€). The budgeted project costs must be reasonable and realistic. It often occurs that the amount of the grant requested in proposals is identical to the upper grant limit mentioned in the Call for Proposals. This creates the impression that this figure was taken as the starting point in formulating the project proposal and then filled with activities to justify that amount.

However, it is unlikely that this approach will lead to an optimally designed project. When you prepare the budget, it is more logical to start from realistic considerations regarding the activities needed to successfully carry out the Action and then translate them into costs. Avoid the impression that your budget was 'artificially inflated' in order to obtain the maximum possible grant.

### 11. Have a clear text structure

The text of your proposal must be clear and concise for easy reading. It should have precise headings and sub-headings and contain short paragraphs to structure it. The information you provide should be limited to what is essential for describing your proposed Action and it should show a logical sequence. Avoid redundancies and jargon, and do not use acronyms without explanation. Little credit will be given for sweeping claims such as "this project will be entirely sustainable". Do not forget that a proposal under the ACP Science and Technology Programme is not a scientific paper. You should write as if it was for a non-technical reader. Look at it from a pragmatic point of view: You want to obtain funding to do a certain well-defined work within a clear timeframe that will result in tangible outputs. This is much more like a business proposal.

Within a partnership, it is common practice that each partner will make a contribution to the proposal, in particular the text segments related to its designated role in the project. However, this implies the risk that the final product will not be homogeneous with regard to style, detail of content, presentation, etc. It is, therefore, advisable that one person should do the final editing of the proposal to ensure the homogeneity of the full text.

This person should also be responsible for doing a last check of the completeness of the application and its compliance with all the provisions of the Call for Proposals.

### 12. Use good quality language

Proposals must be submitted in either **English** or **French**. It goes without saying that the use of good 'standard' English or French is an asset for your application. Please ensure that your proposal is reviewed by someone whose mother tongue is English or French, where applicable, and who could, within a few hours, turn an incomprehensible text into a legible application which might be retained. After revising your application, please have the grammar and spelling again checked by someone whose mother tongue is English or French. A proposal must not be formulated in a sophisticated way, but it should be easy to read and – more important – to understand. How else will the evaluators be in a position to assess your proposal?

### 13. Do not forget any documents!

Your application must be supported by a certain number of documents (see Chapter 6.1 of this Manual). Please note that these documents will not be returned at the end of the evaluation process.

### 14. Major reasons for the rejection of applications under other programmes

***The application was posted after the submission deadline:***
This is the most annoying reason of all for having your proposal rejected after all the effort it took to prepare it. So be absolutely sure to respect the deadline. Rejection of late proposals is automatic and there will be no exceptions.

***The application failed to pass the administrative check:***

- The compulsory format of the Grant Application Form was not respected;
- Essential documents were missing (budget, sources of funding, logical framework …);
- Partnership is not eligible (no partners at all, not enough partners, ineligible partners ...);
- Requested European Development Fund (EDF) or EC general budget (BUDGET) contribution exceeds the limit.

***Quality of the content:***
- The relevance of the project (to the needs and constraints of the country/region and to those of the target group(s) and final beneficiaries) is not convincing;
- Proposal shows no clear relation to the objectives of the ACP Science and Technology Programme;
- Goals are too ambitious and not plausibly substantiated by the proposed activities;
- Parts of the proposal are a duplication of past or ongoing projects;
- Objectives, methodology and results are insufficiently elaborated and explained;
- Text is not clearly structured, lacking internal logic;
- Text is obviously written by 'cut and paste' of same text parts in different sections; poor final editing;
- Poor Logical Framework (intervention logic, indicators, sources of verification);
- Costs appear exaggerated in relation to the proposed activities and inputs.

***Impact:***
- Target group(s) is/are not clearly identified or negligible in quantitative terms;
- Proposal does not elaborate on tangible outputs and results;
- Sustainability of the project is not sufficiently substantiated.

***Implementation:***

- Insufficient management experience of the project coordinator;
- Inadequate knowledge of Project Cycle Management (PCM).

# 5. FORMING AN ELIGIBLE PARTNERSHIP BASED ON A SOUND PROJECT IDEA

### Establishing a partnership

There are two possible approaches to the establishment of your partnership:

- Either you develop your project idea first and then look for eligible institutions / networks / groups that might be interested in the subject and in working with your organisation;

- Or, if your organisation already has well-established and tested relations with other eligible institutions / networks / groups, you can build on this experience and jointly develop a project idea of common interest.

You can also make use of the 'Search Partner' section on the Website of the ACP Science and Technology Programme by advertising your organisation and your specific interests there. Please note that the PMU's role is limited to placing your search request on the Website. It will not get involved as a broker between the different parties.

As explained in Section 2.1 of the 'Guidelines for Grant Applicants', please note that in the Call for Proposals of the ACP Science and Technology Programme, there is a variety of eligible institutions and networks that can form an eligible partnership structure.

Whichever approach you choose, the selection of partners and the constitution of the partnership must be based on clear ideas and perceptions about the project. The partnership should bring together all competences relevant for the successful execution of the project and should be committed to the Action and its target group(s). It is important that all partners have a high level of mutual trust and a good co-operative spirit.

### How many members should the partnership consist of?

There are minimum rules that you find explained in the 'Guidelines for Grant Applicants', but there is no upper limit to the number of members the partnership may comprise. However, there is no point in adding partners just for the sake of it. The optimum is a partnership that combines all the required competences, where each partner has a well-defined role and where partners share project activities and benefits in a balanced way. And remember: the more partners are involved, the more complex and difficult managing the project will become.

### Choosing the lead institution

One member of the partnership must be designated as the lead institution who then becomes the 'Applicant'. The most useful consideration in choosing the lead institution of the partnership should be project management experience and capacity. This is an important criterion in the evaluation process and should, therefore, be the outstanding qualification of the lead institution.

### Formalising the partnership

The establishment of the partnership is formalised through the so-called 'partnership statements', included in Part B, Section III.2 of the 'Grant Application Form'. Each partner must sign, date (and stamp) such a statement and in principle they should all be included as originals in your application. Faxed copies will be accepted, but you may be asked by the ACP Secretariat to provide the original at a later time. Assembling the partnership statements should, therefore, be one of the very first activities to be undertaken once the partnership structure has been agreed, since experience shows that it may take considerable time to obtain them all. The signature on the ‘Partnership Statement’ must be that of a person authorised to legally represent the institution.

An additional instrument to formalise your partnership is an internal agreement (‘consortium agreement’, ‘co-operation agreement’, …) that: describes the purpose of the partnership; clearly defines the role and responsibilities of each partnership member: confirms their commitment to the joint undertaking; etc. It is also recommended to include the internal rules of communication and decision making, the financial conditions, property rights, valorisation and the dissemination of results, etc. It is necessary to consider all possible events in order to avoid any surprises in the project implementation, which could lead to a deadlock or even the suspension of the project. It is entirely up to you whether and how you draw up such a document. It is neither part of your application nor is it a condition for its validity. If your application should be selected for a grant, you can then replace this initial (and more informal) agreement by a more precise and detailed one that is legally binding on its signatories.

# 6. COMPLETING THE GRANT APPLICATION FORM

## 6.1 WHICH APPLICATION DOCUMENTS TO SUBMIT?

The 'Guidelines for Grant Applicants' contains the following list of Annexes:

- Documents to fill in:
  - Annex A: Grant Application Form (Microsoft Word format)
  - Annex B: Budget (Microsoft Excel format)
  - Annex C: Logical Framework (Microsoft Excel format)
  - Annex D: Legal Entity Sheet for Public Entities and for Private Companies
  - Annex E: Financial Identification Form
- Documents for information:
  - Annex F: Standard Grant Contract
  - Annex G: Daily Allowance Rates (*per diem*)
  - Annex H: Standard Contribution Agreement (applicable in case where the Beneficiary is an international organisation)

**The <u>mandatory documents</u> to be submitted are the 'Grant Application Form' with the following parts and annexes:**

- **Part A - Concept Note**

  **four sections:**

  1. Title of the Action
  2. Relevance of the Action
  3. Description of the Action and its effectiveness
  4. Sustainability of the Action

- **Part B - Full Application Form**

  **seven sections:**

  I. The Action
  II. The Applicant
  III. The Partners
  IV. The Associates
  V. Checklist
  VI. Declaration by the Applicant
  VI. Assessment Grid

- **The 2 annexes:**

  - Budget (worksheet 1 'Budget' and worksheet 2 'Sources of funding')
  - Logical Framework

The following documents will only be requested by the ACP Secretariat if your proposal is provisionally selected at the end of the evaluation procedure (see Section 2.4 of the 'Guidelines for Grant Applicants'):

- Legal Entity Sheet (of the Applicant)
- Financial Identification Form (of the Applicant)
- Other: statutes or articles of association (of the Applicant and the partners); profit and los account and balance sheet (of the Applicant); and details on the audit firm.

The following documents are provided for information purposes only and should not be returned:

- Standard Grant Contract: this type of contract will be officially sent to you for signature only if a grant has been awarded at the end of the assessment.
- Daily Allowance Rates: this document can be consulted for the calculation of *per diems* in case of

missions requiring an overnight stay away from the base of operations. These include accommodation, meals, local travel within the place of mission and sundry expenses.

- Standard Contribution Agreement: this type of contract will be used – only if a grant has been awarded at the end of the assessment – when the Beneficiary is an international organisation, with the exception if it concerns an organisation with which the EC has concluded a specific framework agreement.

Do not send any additional documents – they will be disregarded. In particular, do not send at this time any of the documents listed in Section 2.4 of the 'Guidelines for Grant Applicants' (statutes, balance sheets, etc.). You will be requested by the ACP Secretariat to submit these if and when your application should be selected for funding.

## 6.2 Cover sheet and first page of the Grant Application Form

### 6.2.1 Cover sheet

| | | |
|---|---|---|
| Name of Applicant: | **Please indicate the name of the lead institution within the partnership that submits the proposal and, if the proposal is selected, signs the grant contract.** | |
| Title of the Action: | Give here the exact title of your Action, including the acronym, if there is one. | |
| Lot: | Please select the appropriate Lot number for the proposed Action | |
| Location(s) of the Action: | Indicate here the location(s) where the proposed Action will take place, at the level of region, country and, if applicable, town (for example: Western Africa – Burkina-Faso – Ouagadougou; Pacific – Fiji, Samoa, Tonga; Europe – Italy – Rome, …). | |
| Total eligible cost of the Action (A)<br>(EUR) | Amount requested (B)<br>(EUR) | % of total eligible cost of the Action (B/Ax100)<br>(%) |
| The amount you enter here (in EUR) must be the same that appears in the bottom line of Annex B.1 of the 'Guidelines for Grant Applicants' - Budget for the Action (budget line 11.'Total eligible costs (9+10)' in the column 'All Years'). | The amount you enter here (in EUR) must be the same that appears in Annex B.2 of the 'Guidelines for Grant Applicants' – Expected sources of funding in the line 'EDF or EC general budget contribution sought in this application'. It must be an amount between € 350,000 and € 1,000,000 or up to € 3,000,000 for exceptional cases (see Chapter 2 of this Manual and Section 1.3 of the 'Guidelines for Grant Applicants'). | This percentage (%) must be ≤ 85%. If it exceeds 85%, even by decimals, you must either increase the figure for 'total eligible cost' – thus increasing the percentage contributed by other sources than the EDF or EC general budget – or reduce the figure for 'amount requested'.<br>Please calculate the percentage precisely (for example: 75.48%). Do not round up or down. |
| Total duration of the Action: | Please indicate the number of months during which the proposed Action will take place, including the possible months where no activities are planned (holidays, …). This must be a minimum of 12 and a maximum of 36 months. | |

| | |
|---|---|
| Dossier No | Do not write here. This is the number that will be attributed to your application by the ACP Secretariat. |

(for official use only)

### 6.2.2 First page

| Contact details for the purpose of this Action: | |
|---|---|
| **Postal address:** | Please indicate here the complete postal address of the Applicant's institution so that the letters of the ACP Secretariat regarding the status of your proposal in different stages of the evaluation process will reach you. The ACP Secretariat will not be held responsible in case it cannot reach an Applicant.<br>Please ensure that the address is correct and notify the PMU of the ACP Science and Technology Programme of any changes |
| **Telephone number:** Country code + city code + number | Please indicate here the complete telephone number of the Applicant's contact person. This number will be used to contact you in case of need for any additional information or clarifications regarding your application.<br>Please ensure that the telephone number is correct and notify the PMU of the ACP Science and Technology Programme of any changes. |
| **Fax number:** Country code + city code + number | Please indicate here the complete fax number of the Applicant's contact person (for the same reasons as explained above).<br>Please ensure that the fax number is correct and notify the PMU of the ACP Science and Technology Programme of any changes |
| **Contact person for this Action:** | Please indicate the title (Ms./Mr.), surname, first name and function of the person to whom any requests for clarification or further information can be addressed. |
| **Contact person's e-mail address:** | Please indicate a valid e-mail address, preferably a professional one. This address will be used to contact you in case of need for any additional information or clarifications regarding your application. This e-mail address is also the one to which letters of the ACP Secretariat regarding the status of your proposal in different stages of the evaluation process will be sent.<br>Please ensure that the e-mail address is correct and notify the PMU of the ACP Science and Technology Programme of any changes. |

## 6.3 THE LOGICAL FRAMEWORK

In Part B, Section I, paragraph 1.11 of the 'Grant Application Form' you are required to produce a so-called 'Logical Framework Matrix' (attached as Annex C to the 'Guidelines for Grant Applicants') after you have described your project in detail in the sections I.1.4 – I.1.10 of the 'Grant Application Form'.

However, we suggest that the **Logical Framework Matrix** should best be developed **before** you start writing the texts of sections I.1.4 – I.1.10. When going first through the different steps of the Logical Framework Approach (LFA) as described below, this will naturally lead up to identifying the contents of these texts. Doing it the other way around – writing your texts first and then 'filling in' the Logical Framework Matrix as an afterthought - frustrates the very philosophy of the approach.

The LFA should be thought of as an 'aid to thinking'. It allows information to be analysed and organised in a structured way.

It is useful to distinguish between the LFA, which is an analytical process (involving stakeholder analysis, problem analysis, objective setting and strategy selection), and the Logical Framework Matrix (logframe) as the product of this process, which is based on further analysis on how objectives will be achieved and the potential risks that may occur.

The process of going through the various steps of the LFA should ideally be carried out by representatives of the Applicant and its partners sitting together in a workshop situation and assisted by a qualified moderator. It requires the group to address issues that may have appeared self-evident or which importance was not fully realised before. The process exposes previously unstated assumptions and hypotheses, and forces the group to analyse carefully what it is planning to do and to think about the 'why' and 'how' of the project. The overall result is that the project you will then describe in the 'Grant Application Form' will be clearly thought out and present a feasible and consistent solution to the problem(s) you propose to address.

If the organisation of the above-mentioned workshop is not possible for cost reasons, the Applicant may form a working group to perform the exercise and then discuss and share the results with its partners. A situation where the logical framework is developed in isolation by an individual staff member or even by an external consultant should definitely be avoided.

The Logical Framework Matrix (also referred to as the 'Logframe') looks deceptively simple, but in reality it should not be perceived as a stand-alone document that can be completed in isolation. Rather, it is the end result of a series of interlinked analytical planning steps called the Logical Framework Approach. If you feel that you are sufficiently familiar with it, you can skip this chapter and start straight away with the production of the Logical Framework Matrix. If not, please read this chapter carefully as this will help you to significantly improve the overall quality of your proposal and thereby your evaluation scores.

### The Logical Framework Approach (LFA)

The way in which projects are planned and implemented follows a sequence that is known as the *project cycle*, which consists of the following phases: programming → identification → formulation → funding decision → implementation → evaluation.

*Project Cycle Management* (PCM) is a set of project design and management tools, adopted by the European Commission in 1992, and based on the Logical Framework Approach. These techniques are described in detail in the document 'Project Cycle Management Guidelines' which can be consulted at the following Internet address: *http://ec.europa.eu/europeaid/multimedia/p* ublications/publications/manuals-tools/t101_en.htm.

The *Logical Framework Approach* (LFA) must not be confused with the Logical Framework Matrix. LFA is a systematic analytical project preparation methodology, whereas the Logical Framework Matrix is a document produced at the end of the LFA process with a special structure regarding the project set-up and its implementation. It is this matrix that you have to complete in Part B, Section I, paragraph 1.11 of the 'Grant Application Form' (attached as Annex C to the 'Guidelines for Grant Applicants').

The LFA fulfils several functions:

- It provides a picture of the contextual environment of the project topic.
- It develops a structured set of project ideas by clarifying objectives and outputs.
- It provides a clear, brief and logical description of the proposed project.
- It helps to identify possible risks to project implementation.
- It provides a useful basis for evaluation during and at the end of the project.

The LFA process can be divided into the following seven steps:

1. Situation analysis
2. Stakeholder analysis
3. Problem analysis
4. Objectives analysis
5. Analysis of alternatives
6. Activity planning
7. Resource planning

Only when you have gone through these steps, you can prepare the Logical Framework Matrix.

## 1. Situation Analysis

As a first step, you need to undertake a structured analysis of the existing situation and the context of the envisaged project. This will require you to answer questions of the following type, among others:

- What are the general areas of concern, or themes, that the project will focus on?
- What is the historical background of issues relating to the project?
- What are the lessons learned from comparable projects?
- What is the project aiming to achieve?
- At what spatial levels will the project focus, in terms of subject and/or geography?
- Within what political, socio-economic, technological and biophysical environment will the project operate?
- Who will/should be involved in the process of design, implementation, monitoring, evaluation and reporting?
- Who is working on the issues already? What are they doing? What results have been achieved?
- Who will implement the project?
- What is the intended duration of the project?
- What is the anticipated level of funding?
- Who will fund the project?

The information sources for answering the above questions could be: a feasibility study; a pre-appraisal report; strategy papers of countries, themes, institutions, etc.; science and technology policy documents; a compilation of documents prepared specifically for the LFA; or simply the professional knowledge of the participants to the planning process.

## 2. Stakeholder Analysis

The Stakeholder Analysis will produce a document where you give a detailed analysis of the people, groups, or organisations that may influence or be influenced by the problem area addressed by the proposed project or by the potential solution to the problem. The objective of this step is: to identify these groups and organisations and discuss their role, interests, capacity to participate and expectations with respect to the project; how they relate one to another; how they can be involved in the design and implementation of the project; how it can be assured that they will actually benefit from it; etc.

When looking at who the stakeholders are, it is useful to distinguish between the 'target groups' and the 'final beneficiaries' who both benefit in whatever way from the implementation of the project:

- 'Target groups' are the groups/entities who will be directly positively affected by the project at the Project Purpose level. They are sometimes also called 'direct beneficiaries'. They are listed in Part B, Section II, paragraph 2.3 of the 'Grant Application Form'. This may include the staff from partner organisations;
- 'Final beneficiaries' are those who will benefit from the project in the long term at the level of the society or sector at large.

## 3. Problem Analysis (the problem tree)

The Problem Analysis is undertaken by developing a 'problem tree' for your project through an analysis of cause and effects. By identifying what the main problems are in the problem area and establishing the cause and effect relationships which result in, and flow from, these problems in the form of a diagram – called a 'problem tree' – visualises the hierarchy of these problems. Once complete, the problem tree represents a summary picture of the existing negative situation.

*Identifying the main problems*
You may use brainstorming techniques to identify the main problems faced by the target group(s) and final beneficiaries with respect to the problem area. The facilitator should explain the process and the rules for brainstorming.

**Brainstorming rules**

- All ideas are accepted without argument.
- The aim is for quantity rather than quality.
- No debate will be allowed about whether ideas are accepted or not, only about whether the idea has already been listed.
- No evaluation will take place at this time; concentrate on getting a full cross-section of ideas first.

For maximum efficiency, a brainstorming group should be no more than around ten people. If more persons participate, it is better to split them into smaller groups. The brainstorming exercise commences by asking participants to identify the main problems which the project will address. They will be written on cards, and stuck on the wall, in no particular order. When the participants feel that all essential problems are displayed, they should cluster them into groups of similar issues. At this stage a 'weeding' exercise can be undertaken with the aim of discarding problems that duplicate each other and removing those that can clearly not be addressed by the project.

*Developing the problem tree*
The problem tree is then developed by arranging the problem cards on the wall in a 'cause–effect' hierarchy, possibly adding new ones that emerge as the tree is built up. When building the tree, it will automatically centre to one main problem in the upper half of the tree, a series of lower order problems that branch out below this main problem and a series of upper order problems that branch out above it.

The easiest way to develop the problem tree is to begin with a 'starter' problem and progressively add the other problem cards above or below it. It does not really matter which problem is chosen as the 'starter', but it is best if it is a problem that participants agree is of major importance. The problem tree is constructed by successively relating your problem cards to the starter problem using the cause-effect rationale:

- If the problem is a cause of the 'starter' problem, it is placed below it;
- If the problem is an effect of the starter problem, it goes above;
- If it is neither a cause nor effect, it goes to the same level.

Below we show an example of a problem tree that may be drawn up by a restaurant owner, who analyses the reasons for his core problem – that his business is unprofitable (we have deliberately chosen an example totally unrelated to the ACP Science and Technology Programme).

### 4. Objectives Analysis (the objective tree)

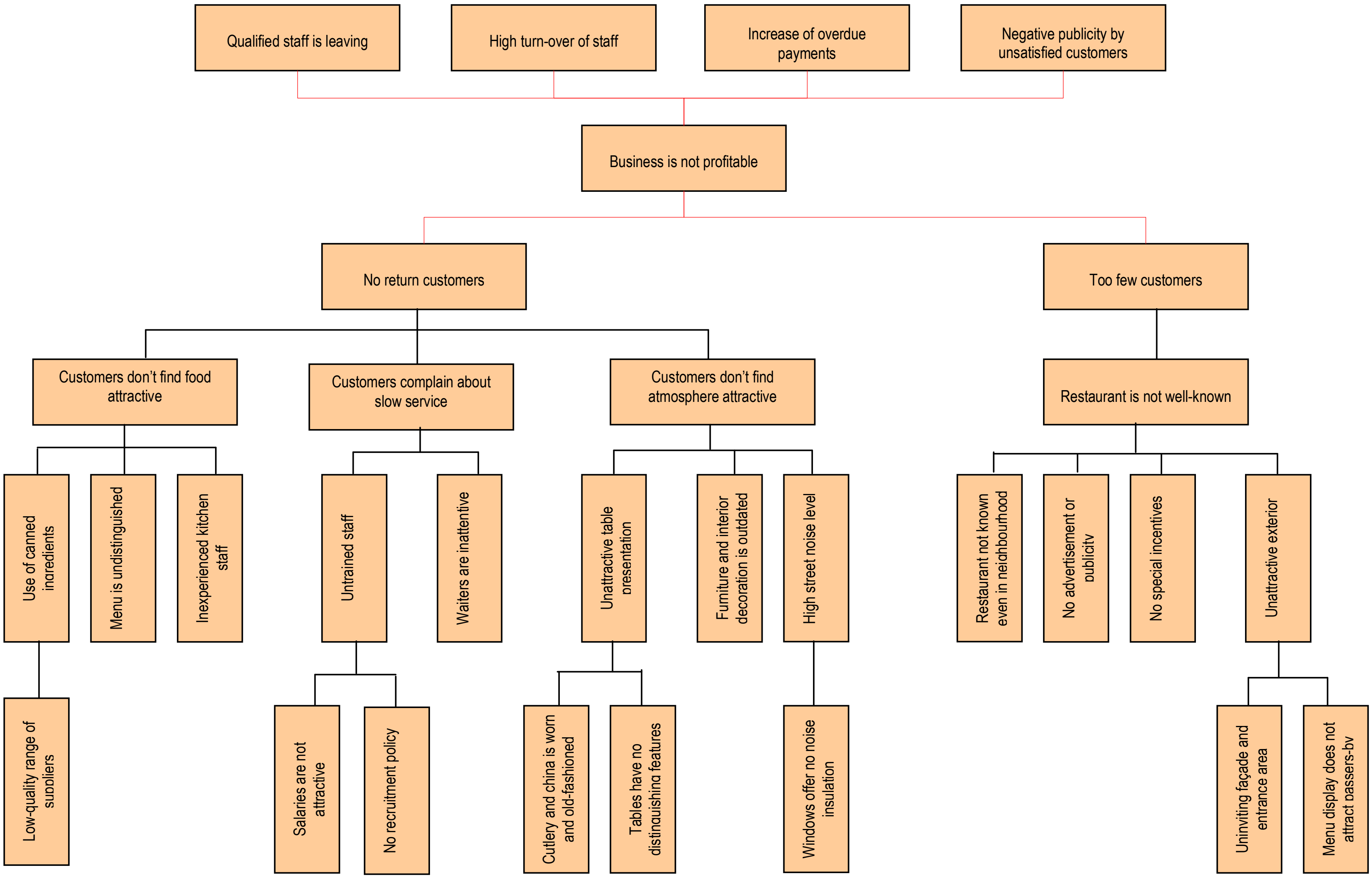
The next step is to reformulate all elements in the problem tree into positive, desirable conditions – these are the objectives.

The problem tree is transformed into an 'objective tree' by converting the problems into 'positive achievements'. In that sense, the objective tree is the positive mirror image of the problem tree. It can also be considered as an 'ends-means' diagram. The top of the tree is the end that you desire to achieve with your project and the lower levels are the means to achieving it. Its main strength is that it keeps the analysis of potential project objectives firmly based on addressing a range of clearly identified priority problems.

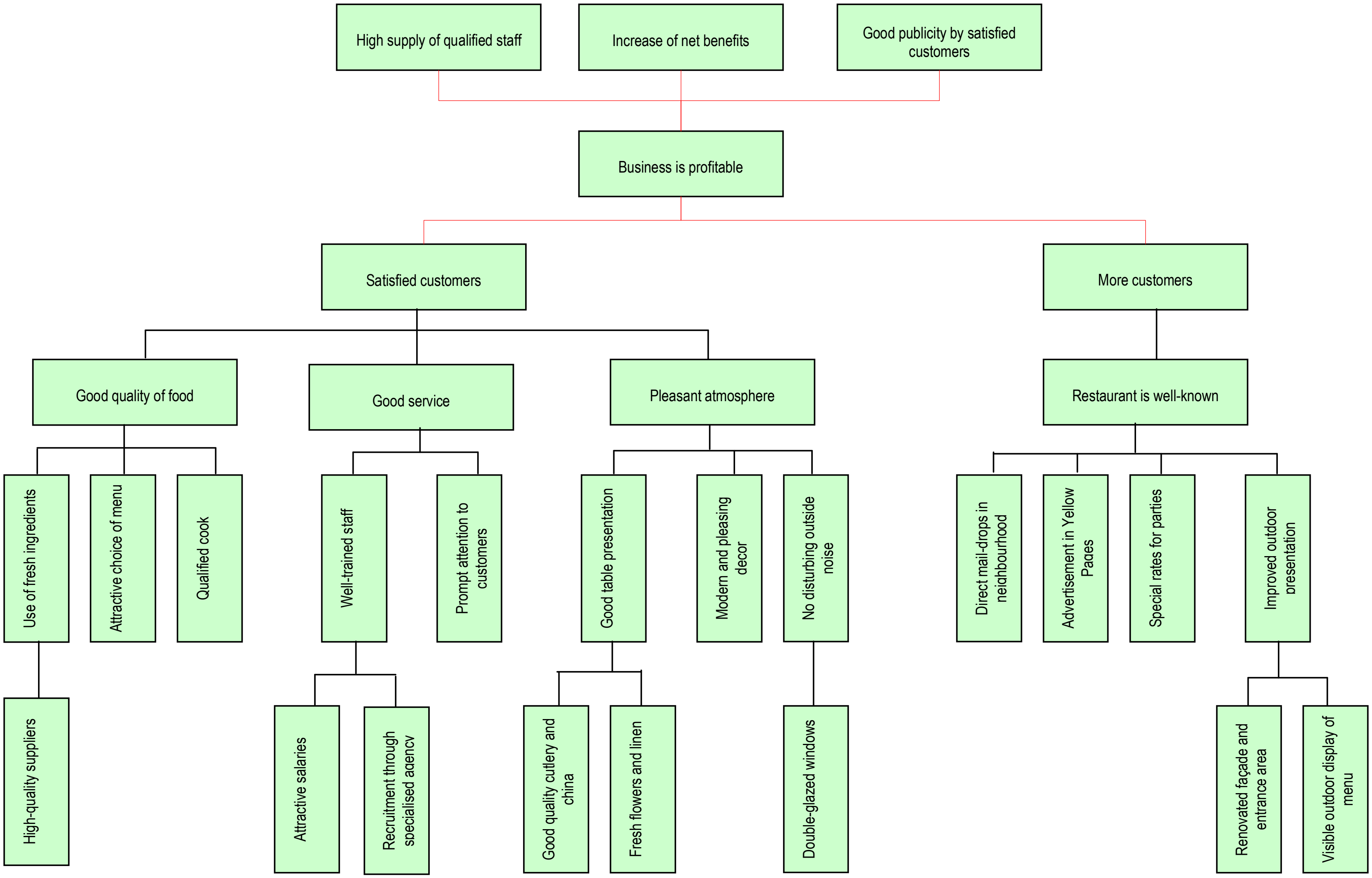
Once complete, the objective tree provides a summary picture of the desired future situation. As with the problem tree, the objective tree should provide a simplified but robust summary of reality. It is simply a tool to aid analysis and presentation of ideas.

The following example shows the objective tree corresponding to the previously shown example of a problem tree. As you can see, it is a mirror image – what has been stated before as a problem is now presented as a positive, desirable situation, that is to say as an objective to be achieved.

## Example of a Problem Tree



## Example of an Objective Tree



## 5. Alternatives Analysis

Looking at your objective tree you may realise that several possible strategies can be envisaged to achieve the objectives it shows and that you will have to select the one that appears most feasible. You may also find that it will not be possible to achieve all the objectives in the context of a single project, given the limits of the resources that can be applied or the complexity of the items to be dealt with, the different stakeholder interests, political demands, institutional capacities, etc. In such cases, you may have to reformulate your project to address only a certain section of the objective tree.

In our example of an objective tree, the restaurant owner may decide to concentrate only on the left-hand part of the tree as a first step, since his current financial situation does not allow for costly renovation and advertising activities.

## 6. Activity Planning

After defining the objectives with respect to the problem area and selecting a solution from a set of alternatives that will be incorporated into the proposed Action, the detailed planning phase starts by defining the activities that are required to achieve each objective of the proposed Action – and this is where we finally come to the Logical Framework Matrix.

### <u>The Logical Framework Matrix</u>

The Logical Framework Matrix (also called the 'Logframe') summarizes the results of the above LFA process in four columns and four rows, and serves as a planning, management, monitoring and evaluation overview:

- It describes how exactly the proposed project is built up to achieve results.
- It specifies the components that contribute to achieving the stated results and objectives.
- It identifies specific indicators to be used to measure the project performance.
- It specifies the important assumptions and uncertainties (or: critical success factors) beyond the control of the project.

The matrix should provide a summary of the project design in a coherent structure. It should generally be 1 - 4 pages in length.

Both during the production of the matrix as well as after it has been completed, the following important questions have to be answered: Is there a comprehensive overall objective? Are the specific objective(s), the results and activities logically coherent as derived from the overall objective? Can any single activity be related to the realization of the overall objective? Are indicators realistic and the sources of verification available?

The preparation of the matrix is an iterative process, not just a linear set of steps. As new parts of the matrix are drafted, information previously assembled needs to be reviewed and, if required, revised.

Nevertheless, there is a general sequence to completing the matrix, which starts with the pre-conditions, followed by the project description (top-down), the assumptions (bottom-up), and at last the indicators and the sources of verification (working across).

Let us first see in a general way, what information goes into the different boxes and then explain in more detail the different column and row headings.

### Column Headings

*<u>Intervention logic</u>*
This is the text that 'narrates' or describes the objectives, results and activities. It summarizes the 'means-end' logic of the proposed project.

Components of the objective tree can be used to start framing the hierarchy in this column. Objectives at the top of the tree

| | Intervention logic | Objectively Verifiable Indicators of achievement (OVI) | Sources and means of verification (MOV) | Assumptions |
|---|---|---|---|---|
| **Overall objective(s)** | What is/are the overall broader objective(s) to which the project aims to make a contribution? | What are the quantitative ways of measuring, or qualitative ways of judging, whether these broad objectives are being achieved?<br>And by when will they be produced? | Which sources of information exists, or can be provided in a cost-efficient and timely manner to complete the indicators? | |
| **Specific objective** | What is the specific objective the project expects (by its own efforts) to have achieved by the end of the project? And that contributes to the overall objective(s)? | What are the quantitative measures or qualitative evidence by which achievement and distribution of impacts and benefits can be judged?<br>And by when will they be produced? | Which sources of information exist or can be provided in a cost-efficient and timely manner to complete the indicators? Must provision for collection be made under 'Activities' of the project (and in the budget)? | Which conditions external to the project are necessary if the achievement of the specific objective is to contribute to reaching the overall objective(s)? |
| **Expected results** | What are the various results (outputs) that must be produced, which, taken together, will allow the achievement of the project's specific objective? | What kind and quantity of characteristics are needed to measure the degree of achievement of the expected results?<br>And by when will they be produced? | What are the sources of information to complete the indicators? | What are the conditions not within the control of the project which are necessary to progress from the results towards the specific objective? |
| **Activities** | Which main activities must be carried out and in what sequence to achieve each of the expected results? | What are the means which are necessary to implement each of the activities, for example: personnel, equipment, training, etc. | What are the sources of information to measure the progress of the project? | Which conditions external to the project must be realised to obtain planned results on schedule? |
| | | | | Which pre-conditions must be met in order to start the project itself? |

**Note:** The pre-conditions cell in the bottom right of the matrix is important to complete and analyse during the construction of the matrix. This information may also be inserted as a second part of the cell above ("Which conditions external to the project must be realised to obtain planned results on schedule?").

should help frame the 'Overall objective(s)' and the 'Specific objectives', while further down the tree 'Expected results' and 'Activities' could also be identified. However, it should not be expected that the objective tree can be transposed directly into the matrix hierarchy. Further adjustment and refinement of statements is usually required and checking of the 'means-ends' logic should be ongoing as the matrix is being developed.

*Objectively Verifiable Indicators of achievement (OVIs)*

OVIs define the evidence, direct or indirect, that will show progress towards and achievement of the objectives and results. They are expressed as units of measurement that provide a basis for the monitoring and evaluation of project achievements over time. They must be 'objectively verifiable', which means that different persons (within and outside the project) must be able to collect the same information and use the same measuring process to obtain the same results independently.

OVIs should meet the following criteria:

- **Be measurable and specific**
  An indicator must be able to be measured in either quantitative or qualitative terms. It must also be specific enough to objectively determine whether the project has been successful or not, and to what extent. Ensure that standard indicators are used to the extent possible for comparability over time or between target groups.
- **Be feasible**
  An indicator should be feasible in terms of finances, equipment, skills and time available.
- **Be relevant and accurate**
  An indicator should be relevant to the management information needs and reflect what to measure in an accurate way.
- **Be sensitive**
  An indicator should be capable of picking up changes over the time period that we are interested in.
- **Be timely, time-bound and time-based**
  An indicator should be able to provide information in a timely manner and should be defined for each quarter or half year or year as appropriate to the indictor. It should express the benefits or changes that a project aims to bring about at certain intervals and by the end of the implementation period.

There is often a tendency to include large numbers of indicators on the assumption that more information is better than less. This is not necessarily so: one well-chosen indicator can be better than several less precise ones.

When formulating OVIs, the following questions should be asked:

- What characteristics, conditions or features would indicate that the results have been achieved?
- Would the collected data help one understand what is going on in the project and would they make sense in relation to the results?

*Sources and means of verification (MOVs)*

MOVs show where to find the information that can be used to measure or verify the indicators. They should specify:

- how the information should be collected (for example: performing surveys; studying administrative records, national statistics, etc.; organising workshops; studying research findings, publications, etc.);
- where the information for the measurements or verification can be collected;
- who should collect the information;
- when or how regularly it should be collected; and
- the format in which the data collected should be presented.

MOVs should allow obtaining the required information with a reasonable input of time, money and effort. For example, official statistics are a cheap and readily accessible MOV, but they will often have a time lag of a year or more against the actual situation. A targeted survey will give you precise and up-to-date information, but this may be quite expensive to undertake. It is preferable to use existing systems and sources (where possible and appropriate) before establishing new ones.

*Assumptions*

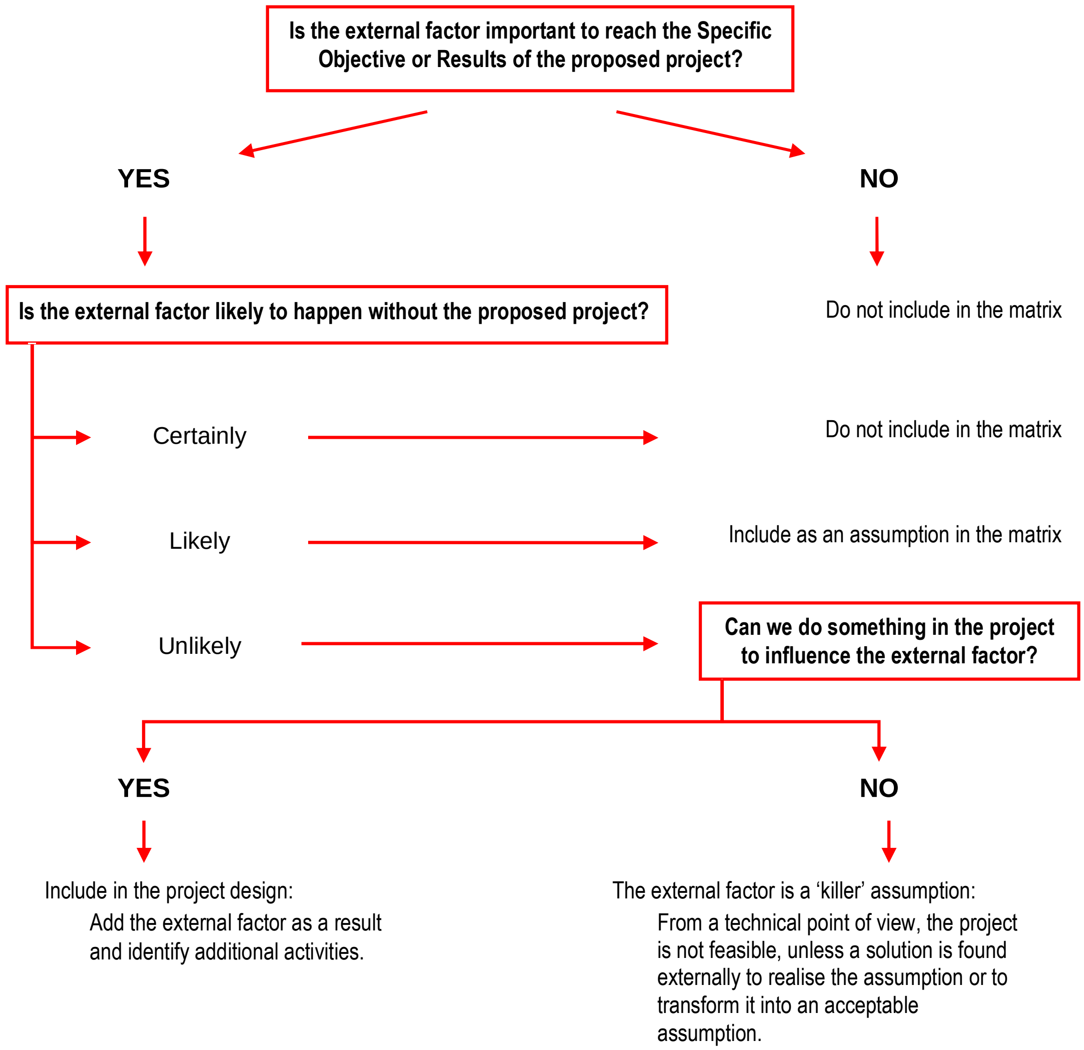
These are external factors outside the control of the project, but which are critical for the achievement of its objectives and results. They need to be fulfilled if the intervention logic is to hold true. Assumptions should, therefore, be stated in terms of the desired situation, for example:

- Budget allocations are made available in a timely manner.
- Local institutions collaborate in planning activities.
- Suitable staff are identified and recruited on time.
- All stakeholders will attend the stakeholder meetings.
- New laboratory building is operational according to schedule.
- Etc.

In formulating and assessing the importance of your assumptions, you should apply the logic presented in the decision-making flowchart below.

Once the assumptions have been analysed and tested, and assuming the project is still considered ‘feasible’, the only assumptions that should remain in the Logical Framework Matrix are those which are likely to hold true, but which nevertheless need to be carefully monitored during project implementation. They then become part of the project’s monitoring and risk management plan.

*Decision-making flowchart for the verification of assumptions:*




**Row Headings**

*Overall Objective(s)*
This is (these are) the higher-level objective(s) to which the project is expected to contribute. They are based on the 'focal problem' identified during the LFA. The word 'contribute to' implies that the project by itself cannot be expected to achieve the overall objective(s).

*Specific Objective*
This is the anticipated effect your project will achieve by delivering the planned results.

*Expected Results*
These are the tangible results that the project should be able to guarantee. Results must generally be delivered within a specified time frame and budget.

*Activities*
These are the activities that must be undertaken by the project partners in order to produce the results. Each activity is directly related to one of the results. The activities take time to perform and consume financial and material inputs.

*Example*

The following example shows a part of a Logical Framework corresponding to the previously example of an objective tree with respect to a restaurant owner who wants to improve his business (we have deliberately chosen an example totally unrelated to the ACP Science and Technology Programme).

*Example of parts of a Logical Framework:*

| | ***Intervention logic*** | ***OVIs*** | ***MOVs*** | ***Assumptions*** |
|---|---|---|---|---|
| ***Overall objective(s)*** | Satisfied customers in village X | – Good publicity. | – Survey of customers. | |
| ***Specific objective*** | Good quality of served food | – Opinion of customers.<br>– Opinion of nutrition professionals. | – Survey of customers.<br>– Annual report of the restaurant.<br>– Press articles.<br>– Rating in restaurant guides. | – Active reporters. |
| ***Expected results*** | 1. …<br>…<br>2.2.1 Improved co-operation between the chef and the regional suppliers of vegetables and fruits<br>2.2.2 …<br>….. | – Level of co-operation reflected in good and frequent contacts between restaurant and suppliers.<br>– Number of invitations (from the suppliers) to all kind of events.<br>– Frequent reduction on products.<br>– … | – Survey of suppliers.<br>– Document review at the Chamber of Commerce.<br>– Business correspondence between the restaurant and the suppliers.<br>– … | – Postal and telecommu nication services are properly functioning.<br>– Good harvest years.<br>– … |
| ***Activities*** | …<br>2.2.1.1 Organisation of consultation meetings.<br>2.2.1.2 Inviting suppliers for a free meal.<br>… | – No. of meetings held.<br>– No. of free meals served.<br>– … | – Minutes of the meetings.<br>– Bookkeeping records.<br>– … | – Interest of suppliers to participate. |

**Vertical and Horizontal Logic within the Logical Framework Matrix**

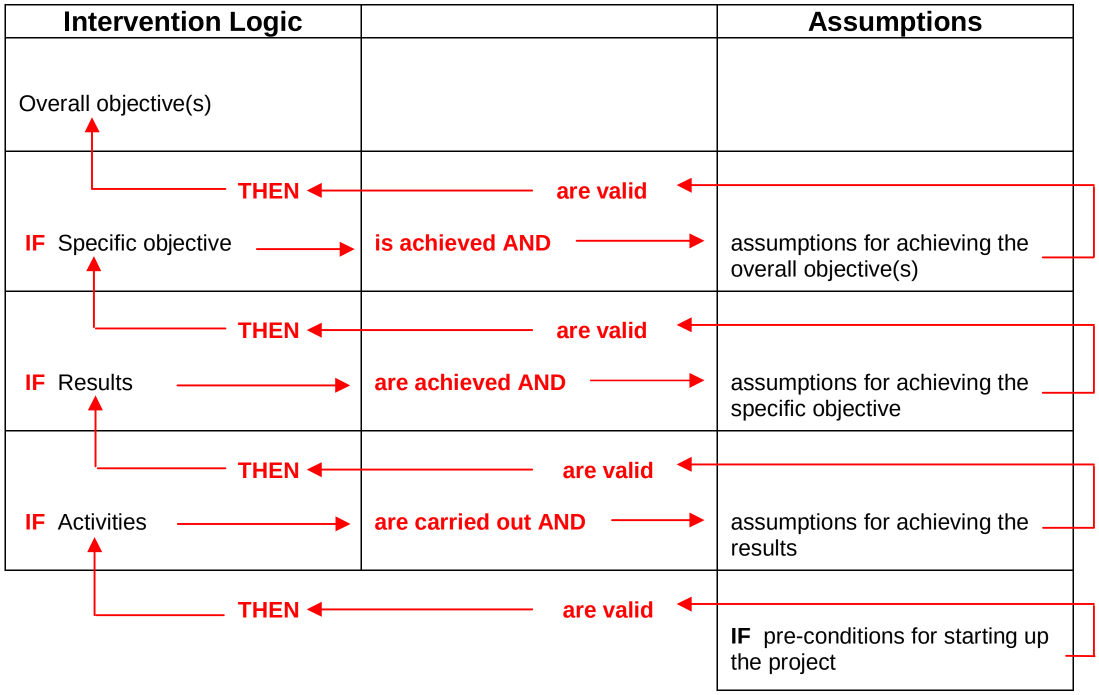
The matrix functions on two dimensions, vertical and horizontal.

The <u>vertical logic</u> connects the levels of the matrix – activities, results, specific objective, and overall objective(s). This means that:

- Meeting the pre-conditions should lead to the start of the project.
- Completion of the activities should lead to the delivery of the results.
- Delivery of the results should lead to the achievement of the specific project objective.
- Achievement of the specific project objective should contribute to the overall objective(s).

If your project has good causality, the vertical logic should be correct and demonstrable. Testing the vertical logic will help you to correct logical inconsistencies when formulating your project proposal.

The illustration below presents the vertical and horizontal logic within the matrix:




In other words, the conditional logic of the project design begins with the initial assumptions about the necessary pre-conditions for project start-up, for example, available funding, available staff, institutional support, etc. **IF** these initial assumptions hold true, **THEN** the foreseen project activities can be implemented. **IF** the activities are achieved, **AND** provided that the assumptions about the external factors affecting the 'activities-results' relationships hold true, **THEN** the expected results should be achievable. **IF** the results are achieved, **AND** provided that the assumptions about the external factors affecting the 'results-specific objective' relationships hold true, **THEN** the specific objective should be achievable. **IF** the specific objective is achieved, **AND** provided that the assumptions about the external factors affecting the 'specific objective-overall objective(s)' relationships hold true, **THEN** the overall objective(s) should be achievable.

The horizontal logic of the matrix considers how to determine the status of the activities, of the results, achieving the specific project objective and contributing to the overall objective(s) by listing the indicators and means of verification and the assumptions for the implementation of the project (as such providing a framework for monitoring and evaluation of the project), for example:

| Intervention Logic | OVIs | MOVs | Assumptions |
|---|---|---|---|
| | | | |
| **IF** this is one of the expected results | **THEN** this will measure whether it has been achieved | **AND** this is where to find the information that will tell us whether it has been achieved | **AND** if these assumptions are valid, the result will lead to achieving the specific project objective |

*Some basic rules you should keep in mind when completing the Logical Framework Matrix:*

- Start first with specifying the pre-conditions in the 'Assumption' column.
- Continue with the 'Intervention logic' column (from the top to the bottom).
- Write clear and concise statements in the 'Intervention logic' column.
- Number the 'Expected Results' (1, 1.1, 1.2, … 2, 2.1, …, etc.)
- Number the 'Activities' (1, 1.1, 1.2, … 2, 2.1, …, etc.) and ensure that the numbers correspond to those of the 'Expected Results', resulting in the activities being grouped per result.
- Continue with the 'Assumptions' column (from the bottom to the top).
- Leave the 'Assumptions' cell for the 'Overall objective' blank.
- Now complete the columns 'Objectively Verifiable Indicators of achievement' and 'Sources and means of verification' (working across).

## 7. Resource planning

Once the Logical Framework Matrix is complete, a detailed plan of the resources which are needed to implement the project activities can now be made. These resources can consist of specialised expertise (local and/or foreign expertise; available within the partnership or through subcontractors), equipment, tools, supplies, premises, finances and time.

The details of the activities, such as the division into activity components, periods of implementation and responsibilities will be presented in the work plan of the project (Part B, Section I.1.9 of the 'Grant Application Form').

Financing for the project can be provided in different forms, for example grants, funds, credits or contributions in kind. It is important to make a detailed overview of the project costs; who will be entitled to receive funding, how much and when; and where should the total project finances come from. Take into consideration that the ACP Science and Technology Programme applies certain criteria as to the minimum and maximum sizes of grants (€ 350,000 – 3,000,000) to be awarded, as well as to the maximum percentage (85%) of the total eligible costs (Section 1.3 of the 'Guidelines for Grant Applicants').

Because an unspecified division of responsibilities and cost allocation may create problems during the implementation of the project, the budget, particularly in respect of cost-sharing, should preferably be decided before the start of the project and be clearly stated in the proposal and in the contract.

Although not to be mentioned in the Budget breakdown (Part B, Section I.2 of the 'Grant Application Form'), time is an important resource too. If, for instance, equipment is needed, this might have to be adapted to local conditions and training in the use of the equipment should be integrated as an activity in the project plan. If the project is awarded a grant, it will receive portions of the grant at different intervals. This is stipulated in the Grant Contract and important for the way at what time during the implementation of the project you can allocate the funds to the various project actors.

Finally, the resource planning should lead to a breakdown of the project budget where the means and costs are linked to the project activities and detailed per time period.

## 6.4 PART A - CONCEPT NOTE

The Concept Note – a brief summary of the proposed Action – is one of the most important parts of your application. As the first step of the evaluation process after the administrative check (see Chapter 7.3 of this Manual), the Concept Note will be evaluated and if it does not receive the required minimum score, the rest of your application will not even be considered for further evaluation.

It is, therefore, important that you should give a great deal of attention to the formulation of the Concept Note.

We recommend that you only draft your Concept Note after having put together the whole proposal. You will then have the hindsight needed to present a Concept Note that sums up the key points of your proposal very well.

The main aim of the Concept Note is to get acquaintance with the project concept (the general framework of your project), before the Full Application Form and relevant documents are needed in case of a successful assessment in the Concept Note evaluation step.

Though limited to 4 pages, it must give a clear and comprehensive overview of all essential aspects of your proposal in relation to the evaluation criteria applied to it. Do not refer to explanations given in further parts of the proposal – the evaluators will not see these when they are looking at the Concept Note. Also, do not make references to literature or other documents; only what is actually written in the Concept Note will be taken into consideration. The Concept Note should thus be written as a 'stand-alone' document.

For the presentation of your Concept Note, you must strictly follow the structure shown and read careful the explanations given on p. 4 of the 'Grant Application Form':

1. **Title of the Action**
2. **Relevance of the Action**
3. **Description of the Action and its effectiveness**
4. **Sustainability of the Action**

Make sure that everything that can be said in relation to a certain section is said at this point and not in another section. The evaluators will find it difficult to attribute a correct score if the information on a certain issue is spread all over the Concept Note.

It is up to you to decide how much space you want to devote to each section. If you think you can describe the relevance of the Action (section 1) on half a page, but you need 2 pages to sufficiently describe the Action (section 2), this is perfectly acceptable. It is the total of the Concept Note that must not exceed 4 pages.

Please explain any acronyms you use if they are essential for understanding the text.

Finally, if the author(s) of the Concept Note is/are not fully proficient in the language in which it is written (English or French), you should have it checked by a competent person – preferably a native speaker. It would be unfortunate if your Concept Note does not receive the score it merits because it cannot be properly understood for reasons of poor linguistic quality.

## 6.5 PART B - FULL APPLICATION FORM

## Section I: THE ACTION

If you have followed our advice and gone through the Logical Framework Analysis (Chapter 6.3 of this Manual) before you come to this point, you will already have in hand most of the elements you need to complete this section of the 'Full Application Form'. It will now be a matter of elaborating them in detail.

## 1. Description

Sections I.1.1 – I.1.3 repeat the information you have already given on the cover sheet of the 'Grant Application Form'.

### 1.1 Title

Give here the exact title of your Action, including the acronym, if there is one.

### 1.2 Location(s)

Indicate here the location(s) where the proposed Action will take place, at the level of region, country and, if applicable, town (for example: Western Africa – Burkina-Faso – Ouagadougou; Pacific – Fiji, Samoa, Tonga; Europe – Italy – Rome, …).

### 1.3 Cost of the Action and amount requested from the ACP Secretariat

<u>Total eligible cost of the Action</u>
The amount you enter here (in EUR) must be the same that appears in the bottom line of Annex B.I - Budget for the Action (budget line 11.*'Total eligible costs (9+10)'* in the column 'All Years').

<u>Amount requested</u>
The amount you enter here (in EUR) must be the same that appears in Annex B.2 – Expected sources of funding in the line *'EDF or EC general budget contribution sought in this application'*. It must be an amount between € 350,000 and € 1,00,000 or up to € 3,000,000 for exceptional cases.

<u>% of total eligible cost of Action</u>
This percentage (%) must be ≤ 85%. If it exceeds 85%, even by decimals, you must either increase the figure for 'total eligible cost' – thus increasing the percentage contributed by other sources than the EDF or EC general budget – or reduce the figure for 'amount requested'. Please calculate the percentage precisely up to two decimals (for example: 75.48%). Do not round up or down.

**1.4 Summary** (maximum 1 page**)**

<u>Total duration of the Action:</u>
Indicate the number of months you foresee for implementing the Action, including the possible months where no activities are planned (holidays, …). It must be a minimum of 12 and a maximum of 36 months.

<u>Objectives of the Action:</u>
The overall objective(s) and the specific objective(s) you list here – in a few lines – must be the same you will describe in detail in Section I.1.5 of the 'Grant Application Form'.

<u>Partners:</u>
Indicate here the name, country and location of all the partners who will be collaborating in the Action, but <u>not</u> of the Applicant or the associates (if any). They must be the same for which you will be requested to provide partner descriptions and signed partnership statements in Section III of the 'Grant Application Form'. Please ensure that the number and nationality of partners respect the rules explained in the Sections 2.1.1 and 2.1.2 of the 'Guidelines for Grant Applicants'.

Target group(s):
'Target groups' are defined as *" …. the groups/entities who will be directly positively affected by the project at the Project Purpose level"*. They are the direct beneficiaries of the Action you propose. Examples of 'target groups' could be: administrative staff of the participating institutions, research managers in the health sector, policy development staff of governmental institutions, etc. Try to define this group (or these groups) as precisely as possible.

Final beneficiaries:
'Final beneficiaries' are defined as *" …. those who will benefit from the project in the long term at the level of the society or sector at large"*. In this respect, they are the indirect beneficiaries of the Action you propose. Examples of 'final beneficiaries' could be: research community in the transport sector, university students, public administrations involved in environmental management, etc. Try to define these beneficiaries as precisely as possible.

Estimated results
These are the results that will be achieved through the Action if all the planned activities are carried out. You can verify these results and they do not depend on other peoples' or projects'' activities over which you have no or only limited control.

Main activities:
In Section I.1.7 of the 'Grant Application Form', you will have a maximum of 14 pages for a detailed description of the activities you plan to carry out in the proposed Action. At this point, just give a short summary of the major ones.

**1.5 Objectives** (maximum 1 page)

Overall objective
Explain the overall objective(s) to which the Action will contribute. In fact, according to the 'Grant Application Form', there should be just one such objective! Also describe what other developments outside the project must take place so that the overall objective will be achieved. An example of an overall objective could be "Quality improvement of research activities in renewable sources of energy in the Pacific Region".

Specific objective(s)
There must be at least one, but there can be several specific objectives, which can and will be achieved if the project is implemented as planned. So, contrary to the overall objective, you can control the specific objective(s). They should address the core problem identified in the Logical Framework Analysis (LFA) and be defined in terms of sustainable benefit for the target groups. An example for a specific objective, related to the above example of an overall objective could be "Strengthened capacity of the partner institutions in drafting research proposals on renewable sources of energy".

**1.6 Relevance of the Action** (maximum 3 pages)

This is a very important part of your application. In the evaluation, you must reach a total score of at least 20 points (out of 25) for the heading 'Relevance'. If this is not the case, your proposal will be rejected no matter how good the rest of your project may be (see Section 2.3 of the 'Guidelines for Grant Applicants').

Please respond to each item asked for in this section in accordance with the points developed in your Logical Framework mentioned in Section I.1.11 (which we once again advise you to prepare before completing the 'Grant Application Form'). You should elaborate on the results of the Logical Framework Analysis and clearly describe the problems and their interrelationships, the target group(s) and final beneficiaries (including their particular needs and constraints), and the specific problems to be addressed by the proposed Action.

Describe precisely and clearly the relevance of the project with respect to the objectives and priorities of the ACP Science and Technology Programme, as well as to the perceived needs and constraints which appear in the sector or geographical area where your Action will take place. It should also explain how you arrived at the identification of the target group(s) and final beneficiaries. It is important to know who or which category of the population is being targeted, because this will determine the approach, the content and the methodology of the proposed Action. Therefore, the beneficiaries *"everybody"* or *"the general public"* is not adequate: you must be more precise. Make also clear how the proposed Action will achieve the desired solutions.

If there are synergies with other initiatives, such as of the EC or the ACP Group of States, please mention these and explain clearly how the proposed Action adds value or complements these and that it does not concern a duplication of activities that are or have already been supported.

You should call on your partners in the other countries to propose an analysis of local situations that can be integrated in this text.

This analysis of the current (pre-project) situation should expose the context in which your proposed Action would take place. Consequently, the necessity of the Action and its justification, the description of its effectiveness and the methodology applied should be a logical conclusion. As far as possible, you should propose numeric indicators, for instance: What is the size of the group of final beneficiaries? After how many years will the estimated impact be apparent? etc.

### 1.7 Description of the Action and its effectiveness (maximum 14 pages)

<u>Overall Objective and the Purpose of the Action (maximum 1 page)</u>
This complements what you have said under Section I.1.5, but gives you the opportunity to elaborate further on it. The term 'Purpose of the Action' is a synonym of 'Specific Objective(s)'.

<u>Outputs and expected results (maximum 4 pages)</u>
Give a description of the concrete results (products and services) that are expected from the Action. Be specific and quantify as much as possible. Keep in mind that these achievements must be consistent with the objectively verifiable indicators (OVI) and sources and means of verification (MOV) defined in the Logical Framework (Section I.1.11).

Present and describe outputs and expected results in a logical chronological order as they accrue over the time duration of the project. Some outputs may be produced in the early stages of the project and be a pre-condition for producing subsequent ones. This should be clearly shown so that the internal logic of your project becomes apparent to the evaluators.

In this section you must also show that the project is likely to have multiplier effects, which includes the scope for replication and extension of the outcome of the Action, as well as the dissemination of information.

<u>The proposed activities and their effectiveness (maximum 9 pages)</u>
Use a step-by-step approach for all tasks: activity 1, activity 2, etc. and include the title for each activity. Please ensure that the activities are presented and described in their logical sequence.

Explain in detail who will carry out the activities (the Applicant, which partner, which associate), where and when they will be carried out, and what the necessary inputs are (persons involved, materials). Link the activities to the outputs you have described above, because each activity is directly related to, one of the outputs (as mentioned in the Logical Framework Matrix). Show and demonstrate clearly the cross-cutting issues between components of each activity which adds value to the project and distinguish, where appropriate, between critical and supportive activities.

It is important that this section corresponds to the indicative action plan (see Section 1.9 below) and allows a cross-check with the budget (Section I.2).

It is also important that this section clearly indicates the sequence of all the different activities and the links between them. This should be done in a project management description which is appropriate to the type of Action you are proposing, identifying the critical path for implementing the Action (start-to-finish, finish-to-finish, start-to-start, finish-to-start, etc.).

**1.8 Methodology** (maximum 4 pages)

The 'methodology' is the method (or the 'how') of project implementation and management. It must be appropriate and practical, and you should be able to demonstrate that it is capable of producing the objectives and expected results.

Please respond to each item asked for in this section, in particular:

- ☑ The methodology must be orderly, logical and consistently designed, as well as clearly described and feasible. Please ensure that it also reflects the analysis of the problems identified in Section I.1.6 of the 'Grant Application Form'.

- ☑ Describe precisely the method of project implementation (areas, phases, …) and explain why you have chosen for such a methodology.

- ☑ If the project builds on previous activities, show how it will be ensured that they are integrated into the project design.

- ☑ If the project is part of a larger programme, show how it fits into and is coordinated with this programme. Describe potential synergies that may be gained from this approach.

- ☑ If the project might have synergies with or experience constraints due to other current or planned projects, or with projects in the vicinity of the location of the proposed Action, describe these and explain how these will be dealt with.

- ☑ Describe the team proposed for the implementation of the project in terms of number, role and status of persons (no names are necessary). Please note that the project coordinator must be a member of staff of <u>the applicant organisation</u> and that there should be work packages and task managers at the partners' level.

- ☑ Describe the number and role of other stakeholders (for example, target groups, local authorities, etc.), why these roles have been assigned to them, and how they interrelate with the project partners.

- ☑ Describe the management structure put into place for the proposed Action: how the activities of the different partners and other stakeholders will be coordinated, what the function and responsibility of each partner is, which types of information will be transferred between them, how a full use of synergies can be ensured, how an adequate information flow and communication is guaranteed, how the decision-making processes will be organised, how possible risks will be controlled, other procedures, etc.

- ☑ The partners' level of involvement and participation in the Action must be balanced. It is important that the role of each member of the partnership is clearly defined, including the way how they collaborate amongst each other.

- ☑ If applicable, describe how the relationship between the Applicant and the partners and between the partners is working.

- ☑ Provide information on the different means necessary for implementing the various project activities (equipment, tools, etc.) and how they will be used.

- ☑ Describe how all stakeholders think about the Action and its various activities and how they see their involvement herein.

- ☑ Elaborate on procedures for monitoring and evaluation. This means in particular monitoring of actual versus planned activities (use the OVIs in the Logical Framework), reporting (internal and to the ACP Secretariat) and arrangements for internal and/or external evaluation of project achievements.

**1.9 Duration and indicative action plan for implementing the Action**

- Complete the form in accordance with the template provided.
- Do not mention actual dates: use 'month 1' as the starting month, then 'month 2', etc.
- For the first year, please ensure that all activities mentioned in the description of Section I.1.7 appear here.
- For the following year(s), you need only to list the most important activities (at semester level).
- Ensure that the numbers and titles of activities correspond to those in Section I.1.7.
- As a precaution, foresee a certain amount of slack in the timetable.
- Provide the name(s) of the organisation(s) responsible for the implementation of each activity.

**1.10 Sustainability** <u>(maximum 3 pages)</u>

In this section you must show that all probable risks can be managed in order to ensure a smooth implementation of the Action and the achievement of the specific objective and results. You must, therefore, provide an analysis of the possible risks in which you identify the likelihood or chance of problematic events or other difficulties, and the likely consequences.

Include also the main pre-conditions and the assumptions prior, during and after the implementation of the project (as mentioned in the Logical Framework in Section I.1.11). You must describe here the context of your project in the sense that you must identify what are the conditions that will allow your project to be started and implemented, as well as the constraints that you must deal with.

On the basis of this analysis, you must develop a 'contingency' (or 'back-up' or 'emergency') plan with alternatives that allows you to redress any problems encountered and to pursue the implementation of the Action.

In this section you must also show that the Action is likely to have a tangible impact on its target group(s) and final beneficiaries and that the expected results are sustainable, in other words, that they will be continued **after the project comes to an end**. Some interesting questions you should ask with respect to impact and follow-up are:

- What impact shall the project have on the identified problem(s)?
- Shall the project have a multiplier effect?
- What will you do when the donor's money ends?
- How will you ensure the follow-up?

Please distinguish between the <u>financial sustainability</u> (how will the activities be financed after the grant ends?), the <u>institutional sustainability</u> (will institutional structures allowing the activities to continue be in place at the end of the project?; will there be local 'ownership' of project outcomes?), and the sustainability on policy level (what will be the structural impact of the project?; will it lead to improved science and technology capacities, research proposals, science and technology policies, research management, etc?).

Please also provide details on whether any multiplier effects are foreseen, whereby the implementation and/or the results of the Action promotes the implementation of similar initiatives.

### 1.11 Logical Framework

At this point of completing the 'Grant Application Form' appears Annex C of the 'Guidelines for Grant Applicants' – the Logical Framework (Microsoft Excel format). We have, however, already explained before to start with completing the Logical Framework **before** you start writing the texts of Sections I.1.4 – I.1.10 of the 'Grant Application Form'. If you preferred not to follow our advice, you can now consult Chapter 6.3 'The Logical Framework'. The preparation of the Logical Framework Matrix will allow you to structure the proposed Action coherently. Furthermore, the matrix aims to facilitate the implementation of the Action.

## 2 Budget for the Action

This is Annex B to the 'Guidelines for Grant Applicants' and consists of 2 worksheets (Microsoft Excel format) plus the budget justification.

Before completing these worksheets, please reflect on the following issues:

- Use the format proposed.
- Be detailed and realistic.
- Make calculations understandable.
- Respect maximum and minimum amounts allowed.
- Make a clear link between actions and costs.
- Do not ask too much or too little.

**Worksheet 1 of Annex B ('*Annex B.1 - Budget for the Action'*)**

The budget for the Action has to be presented in Euros (EUR) with a thousands separator "," and a decimal separator "." (for example, 182.31 or 2,130.00). All figures you insert in the columns 'number of units', 'unit rate' and 'costs' must be presented with two decimals.

Please respect the template provided (Microsoft Excel Format). Data on the expenses categories have to be provided for the full duration of the Action ('All Years') in the left-hand part of the template and, if applicable, for the first year of the Action ('Year 1') in the right-hand part of the template.

The budget must show the total eligible costs of the project, that is to say the sum of the requested EDF or EC general budget contribution plus the own contribution. This is the figure that appears in the bottom line (budget line 11 *'Total eligible costs (9+10)'* in the column 'All Years') and must be the same as the figure you have entered on the cover page and again on p. 6 (Part B, Section I, paragraph 1.3) of the 'Grant Application Form'. You do not have to show, which items will be financed from the EDF or EC general budget contribution and which from your own contribution. Data on own and external contributions should be provided in Worksheet 2 of Annex B (see below).

The budget headings are separated in 'direct eligible costs' (budget lines 1-9) and 'indirect eligible costs' (budget line 10), which together add up to the total eligible project costs (budget line 11). Direct eligible costs are costs which can be charged directly to the project, whereas indirect eligible costs are the administrative costs or overheads which are not directly attributable to the project, but are incurred in relation to the direct costs of the project. The ACP Science and Technology Programme allows a maximum administrative costs of 7% of the total eligible direct costs of the Action.

Please respect the main headings provided and add lines under each of them as necessary. The budget does not have to be split equally between the partners (though there should be a balanced involvement of all partners). It is up to the Applicant and its partners to divide the budget according to actual costs and in the most appropriate way.

A short explanation on the terminology used in the budget table:

- Unit

  A unit is a standard measure of a quantity, e.g., day, month, flight, meeting, item, etc.

- # of units

  The number of units refers to the total of days, months, meetings, flights, etc. required to implement the Action.

- Unit rate (in EUR)

  This figure describes how many euros correspond to one unit of the mentioned expenses item (cost per item).

Below, we elaborate on some of the headings in the expenses categories.

- **1. Human Resources**

Subdivide the heading 'salaries' according to staff profiles (see example below). Normally, there is no differentiation between 'local' and 'expat/international staff'. Specify the percentage of time in the staff profiles. The unit rate for salaries should be realistic local market rates and you may be requested by the ACP Secretariat during the proposal evaluation process to substantiate the rates you apply with supporting documents (see Chapter 7.3 of this Manual).

*Example:*

| **1. Human Resources** | **Unit** | **# of units** | **Unit rate (in EUR)** | **Costs (in EUR)** |
|---|---|---|---|---|
| 1.1 Salaries (gross amounts, local staff) | | | | |
| 1.1.1 Technical | | | | |
| 1.1.1.1 One half-time Research Associate, Applicant – 50% of time | Per month | 18.00 | 4,000.00 | 72,000.00 |
| 1.1.1.2 One half-time Project Coordinator | Per month | 18.00 | 3,750.00 | 67,500.00 |
| 1.1.1.3 Project Leader | Per day | 80.00 | 319.05 | 25,524.00 |
| 1.1.2 Administrative/support Staff | | | | |
| 1.1.2.1 Secretary 10% of her capacity | Per month | 3.60 | 2,000.00 | 7,200.00 |
| 1.1.2.2 Head of Financial Management for Research 5% of capacity | Per month | 1.80 | 3,300.00 | 5,940.00 |

- Salaries

  Local staff = staff placed in the project location that is hired on the local market.

  Expat/International staff = An expatriate (in abbreviated form 'expat') or international staff member is a project staff member temporarily residing in the country and culture where the project is located other than that of the person's upbringing or legal residence or of the headquarters of the organisation he is working for.

  Technical staff = project coordinators, managers, researchers, etc.

  Administrative staff = support staff (secretaries, accountants, drivers, etc.).

  No names of staff members are required in the budget table, just their positions in the project.

  The salaries refer to the actual salaries paid by the Beneficiary and its partners to their staff members assigned for the project, including the social security contributions.

– Per month

Standard month = 22 working days.

– # of units

if staff is not working full time for the Action, the percentage of involvement should be indicated in the first column under the heading 'Human Resources' and reflected in the number of units' column.

– Unit rate (in EUR)

Unit rates cannot be higher than gross salaries (employees) or qualifications and experience (independents). In case of part-time work, please adapt the number of units and not the unit rate.

– 1.3 Per diems for missions/travel

Include *per diem* rates by country of destination. A *per diem* is an established daily allowance rate in case of missions which require an overnight stay away from the base of operations. It covers accommodation, meals, local travel within the place of mission and sundry expenses. Current *per diem* rates are available on the Internet address: *http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm*. For long periods, monthly allowances may be considered.

- **2. Travel**

Indicate the place of departure and arrival for the international and local travels.

– 2.3 Participation in stakeholders' meetings

You must enter a lump sum of € 5,000 to cover the costs of participation in an ACP Science and Technology stakeholders' meeting. The stakeholders' meeting will be organised for representatives of the selected partnerships to explain the financial and administrative rules and procedures for project implementation. In case your project is selected for funding, but you have not made provision for it in the budget, you must have to pay for your participation in the meeting from your own resources.

- **4. Local office**

Costs for a local office can be introduced in case a local office is established in one of the partner countries specifically for the implementation of the project (or if special costs arise). Otherwise, such costs are covered by budget line 10 *'Administrative costs'*.

- **5. Other costs, services**

Under this heading, a variety of eligible costs and subcontracted services can be identified as directly attributable to the project.

– 5.3 Auditing costs

If your project is selected, an audit carried out by a recognised external audit firm is compulsory at the end of the implementation period, in order to receive the final payment. This is also the case of interim payments to projects that are granted € 750,000 or more.

Further details on the audit are provided in Article 15.6 of the General Conditions to the standard Grant Contract (see Annex F of the 'Guidelines for Grant Applicants'), which can be consulted at the following Internet address: *http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_2gencond_en.pdf*.

You must select an audit firm of your choice and make a provision for the estimated costs in the budget. However, this must be an independent and approved firm who is member of an internationally recognised supervisory body for statutory auditing. If you do not make that provision, you must have to finance the cost of the audit from your own resources.

The external auditing institution will audit all expenditures related to the awarded grant. The auditing report must certify that the awarded grant money was always and completely spent according to the submitted proposal and in line with the regulations of the ACP Secretariat and the EC. Any failure either in providing such a report or evidence of misconduct will entitle the ACP Secretariat to refuse further payment and to demand reimbursement of awarded funds.

– 5.8 Visibility actions

If your project is selected, it will be partially funded by the EC. You will then be expected to comply with certain requirements as to the incorporation of information and communication activities that: (a) raise awareness of the reasons for the Action, (b) visibly acknowledge the EU support and (c) promote the results and the impact of this support. They cover the written and visual identity of the EU and ACP Secretariat and are to be used in briefings, newsletters, press conferences, presentations, invitations, signs etc. For all such actions, you must make a provision for the estimated costs in the budget.

Further details on the visibility requirements are provided in Article 6 of the General Conditions to the standard Grant Contract (see Annex F of the 'Guidelines for Grant Applicants'), which can be consulted at the following Internet address: *http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_2gencond_en.pdf*.

Guidance on how to make the project visible and examples on types of visibility actions can be consulted at: *http://ec.europa.eu/europeaid/work/visibility/index_en.htm*.

- **11. <u>Total eligible costs</u>**

The amount you indicate here is the total cost of the Action, as indicated on the cover sheet and on p. 6 (Part B, Section I, paragraph 1.3) of the 'Grant Application Form'.

- **<u>Footnotes</u>**

Despite the clarifications given here, please read carefully the information in the footnotes.

**Table: Budget justification**

All budget items must be further explained in the Budget Justification table in Part B, Section I, paragraph 1.3 of the 'Grant Application Form' in a clear and transparent way. This is an explanation of the factors used to determine the costs of each budget category or budget line item. This should also include the financial details concerning the subcontracted activities (the subcontractor's rates, number of days/months, outputs, etc.)

Please justify <u>each budget item</u> with respect to:

- the necessity for the item (for example: flight, computer, etc.);
- the number of units proposed; and
- the choice of the unit rate applied.

The justification should make reference to the activities foreseen in your proposal.

The unit rates for staff involved in the Action must be actual local market rates and must also be explained in the budget justification. Please note that the ACP Secretariat as Contracting Authority is entitled to ask for salary slips to verify the accuracy of the rates presented in the budget.

*<u>Example:</u>*

*Budget line 1.3.1.1 – 25 days per diem: 4 missions of 5 days each to Angola by coordinator to participate in 2 Advisory Group Meetings and 2 Training of the Trainers sessions (see activities 2.1 and 4 for details). The EC per diem rates are applied.*

## 3 Expected sources of funding

**Worksheet 2 of Annex B ('*Annex B.2 - Expected sources of funding'*)**

In this worksheet you must provide information on contributions from your own organisation, contributions you request under this Call for Proposals from the EDF or EC general budget, and contributions from other sources. Together, they sum up the total costs of the proposed Action.

- **EDF or EC general budget contribution sought In this application**

The '**EDF or EC general budget contribution**' sought in this application' cannot be more than 85% of the total project cost shown in the bottom line ('Overall total').

- **Own contribution**

The **own contribution** or co-financing part must be a minimum of 15% of the total project cost shown in the bottom line ('Overall total'). It is the sum of:

  - 'Applicant's financial contribution', which also includes contributions of the partners. Associates (if any) may also make a financial contribution to the project.
  - 'Contribution(s) from other European Institutions or EU Member States'.
  - 'Contributions from other organisations' must be listed individually.

- **Direct revenue from the Action**

If applicable, the income generated by the project (for instance, admission fee to a conference carried out by the consortium, sale of the proceedings of the conference, etc.) has to be mentioned under the item 'Direct revenue from the Action'.

- **Overall total**

The **overall total** corresponds to the total eligible costs for the Action as described above. It must be the same as the figure you have entered on the cover sheet and on p. 6 (Part B, Section I, paragraph 1.3) of the 'Grant Application Form'.

When you compile your application documents, please pay attention to the printing of both worksheets of the budget. Worksheet 2 will not print out automatically when you print worksheet 1.

**Table: Contribution in kind**

If applicable, please mention the resources that will be made available by third parties to the Applicant or the partners or by the members of the partnership themselves by means of contributions in kind which are free of charge and have been contributed specifically to be used on the project. Such contributions are non-cash inputs which can be given a cash value (for instance: an institution provides the use of an office, a seminar room or a vehicle for free; a government agency donates some paper to print books; a consultant donates his time to your project; etc.). Section 2.1.4 of the 'Guidelines for Grant Applicants' refers to these contributions as non-representative for actual expenditures which makes them non-eligible costs. Therefore, they can not be treated as co-financing costs nor mentioned in Worksheet 2.

You can use the space provided in the box in Part B, Section I, paragraph 1.3 of the 'Grant Application Form'. Please specify the contributions and their (estimated) value as precisely as possible.

## 4. Linkages to other programmes and policy initiatives

If applicable, you should provide here information on the linkages which the proposed Action has with other programmes or policy initiatives, either ongoing or expected ones. These programmes can be from the EC, from EU Member States, the ACP Group of States, ACP Member States, international organisations, etc. You should include here and elaborate on the probable synergies with other initiatives you already provided in Part B, Section I, paragraph 1.8 of the 'Grant Application Form'.

## 5 Experience of similar Actions

The intention of this section is to establish your management experience by providing references of similar Actions in which you and all partners of the partnership in the proposed Action have participated either as the Applicant or as a partner. Please use the provided template, one for each Action not exceeding 1 page. You can give as many references as you like, but we suggest you limit yourself to projects that are ongoing or have been completed within the last 3 years.

Reference no: Provide a reference number of the Action, if any.

Project title: Mention the title of the Action in which your organisation or that of the partner were involved.

Sector: Mention the sector in which the Action was focussed on. You can use the sector list provided in Part B, Section II, paragraph 2.2 of the 'Grant Application Form'. If the sector type is not mentioned here, please use the names provided by the OECD at the following Internet address: *http://www.oecd.org/document/21/0,3343,en_2649_34469_1914325_1_1_1_1,00.html*

Name of organisation: Give the name of your organisation or that of the partner who were involved in the Action.

Location of the Action: State all the locations where the Action has taken place (countries/regions) and underline the location of the part for which you or the partner were directly responsible.

Cost of the Action: Give the total cost and in brackets the cost of the part for which you or the partner were directly responsible.

Lead manager of partner: State the role of your organisation or that of the partner.

Donors to the Action: State the name of all the donors that financially supported the Action. If one of the donors is the EU Commission or an EU Member State, please specify the EC budget line, EDF or EU Member State.

Amount contributed: State the amount (in EUR) of financial support received per donor. If the original data is not expressed in Euro, please use the official InforEuro exchange rate according to the month stated at the following Internet address: *http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en*.

Dates: If the Action is still ongoing, state the starting date (Day/Month/Year) – present

Objects and results of the Action: Show briefly the overall objectives and results achieved and then in more detail your organisation's or the partner's role herein, in which you describe in particular your or the partner's management and coordination activities.

## Section II: THE APPLICANT

| | |
|---|---|
| **EuropeAid ID number** | You have to provide this identification number only if your institution is registered in the European Commission's on-line PADOR registration service, which is accessible through: *http://ec.europa.eu/europeaid/onlineservices/pador*.<br><br>Please note that registration to the PADOR is not compulsory. |
| **Name of the organisation:** | It is important that you indicate the full name of the institution. In cases where the Applicant is a Legal Entity within an institution, indicate the full name of the Entity followed by the full name of the institution, for example: *Faculty of Applied Sciences, Kenyatta University.* |

Applicants that are registered in PADOR do not need to fill in the rest of this section.

However, to ensure a smooth processing of all information throughout the evaluation procedure and, in case of being awarded a grant, the contract negotiation phase, Applicants are strongly encouraged to still provide the information requested below.

### 1. Identity

| | |
|---|---|
| **Legal Entity File number** | You have to provide this number only if your institution has already signed a contract with the European Commission or the ACP Secretariat.<br><br>If this is the case, check this contract to find the number. |
| **Abbreviation** | If applicable, provide the abbreviation or the commonly used acronym of your institution. |
| **Registration Number (or equivalent)** | This is the number that your institution is registered under – with the competent authorities – for official purposes. |
| **Date of Registration** | Indicate here the date on which your institution was first officially registered with the competent authorities. |
| **Official address of Registration** | This is the legal address under which your institution is registered for official purposes. It may be different from the postal address. |
| **Country of Registration** | Please spell out the name of the country in full where your institution is registered for official purposes. |
| **E-mail address of the Institution** | Indicate here a valid general e-mail address for your institution, if there is one, preferably a professional e-mail |

| | |
|---|---|
| | address.<br><br>This address will be used to contact you if any information or clarification is needed concerning your application. This is also the e-mail address that will be used by the ACP Secretariat for sending correspondence concerning your proposal in the different phases of the evaluation process. It is, therefore, extremely important to give an operational address that works and to notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **Telephone number:** Country code + city code + number | Indicate here a general telephone number for your institution, if there is one.<br><br>This number will be used to contact you if any information or clarification is needed concerning your application. Please ensure that this number is correct and notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **Fax number:** Country code + city code + number | Indicate here a general fax number for your institution, if there is one.<br><br>This number will be used to contact you if any information or clarification is needed concerning your application. Please ensure that this number is correct and notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **Website of the Institution** | If applicable, indicate the Website address of your institution for information purposes (starting with "www."). |

## 2. Profile

This section is aimed at identifying the nature of your institution, the sector(s) in which it is active and the related target group(s). Please remember that the 'Grant Application Form' is also used for other types of programmes and projects under EC financing, so the following tables include options that may not appear appropriate to the ACP Science and Technology Programme, but may apply in other cases.

Legal status
Please indicate the legal status of your institution or, if the Applicant is an entity within an institution, of this entity. The legal status refers to your organisation as a properly constituted legal person, which means that the statutes of your organisation must have been registered or filed with the competent authorities. Examples of a legal status are: public agency, private university, co-operative association, corporation limited company, limited-liability company, NGO, co-operative society, etc.

Profit-Making
Tick as appropriate.

Please remember that grants provided to an Action may not have the purpose or effect of producing a profit for the Applicant or its partners as explained in Section 2.1.1 of the 'Guidelines for Grant Applicants' and Article 17.3 of the General Conditions to the standard Grant Contract (see Annex F of the 'Guidelines for Grant Applicants'), which can be consulted at the following Internet address:

*http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_2gencond_en.pdf*.

NGO
Tick as appropriate.

Value based
Tick as appropriate.

Is your institution linked with another entity?
In the case of a parent entity, you have to provide the EuropeAid identification number only if the parent entity is registered in the EC's online PADOR registration service, which is accessible through: *http://ec.europa.eu/europeaid/onlineservices/pador*. Please note that registration to the PADOR is not compulsory.

The case of a 'controlled entity' would be relevant if you apply as a legal entity within an institution.

**2.1 Category**
The category refers to the type of your organisation, either in the public or private sector. Please note that only **one** choice may be made.

**2.2 Sector(s)**
The sectors listed here refer to those your organisation has been active in. The list is not exhaustive, but reflects the sectors to which this Call for Proposals is focussed on (see Section 2.1.3 of the 'Guidelines for Grant Applicants'). Here, you can tick as many boxes as judged relevant and appropriate.

**2.3 Target Group(s)**
Again, you can tick as many boxes as judged relevant and appropriate. The 'Target group(s)' listed here should be understood as to include both immediate (direct) and final (indirect) beneficiaries of your organisation's activities in the above sectors.

## 3. Capacity to manage and implement Actions

All participants must have an appropriate discipline-oriented expertise with respect to the activities listed in the proposed Action. In this section, the Applicant must show that it has the technical and management capacity, and stable and sufficient sources of finance to manage and implement projects.

**3.1 Experience by Sector**
In this table you must complete as many rows in the first column ('Sector') as you have ticked boxes in the table of Section 2.2 above. If you need more rows in the table, please copy an empty row and insert this at the bottom of the table. For each row, you have to complete the information requested in the columns to the right.

In the next column to the right ('Year(s) of Experience'), tick the box that corresponds to the years of your institution's experience in the sector shown in the first column.

The next column to the right ('Experience in the last 3 years') you have to tick only if in the previous one you have given your experience as being 3 years or less.

In the next column to the right ('Number of Projects'), give an estimate of the number of projects your institution as a whole has carried out over the period you have described in the 'Year(s) of Experience' column. We can define a 'Project' *as "A planned undertaking of related activities to reach an objective. It has a defined beginning and end and typically its own funding, accounting, and delivery schedule."* If, for example, your application under the ACP Science and Technology Programme should be selected and receive funding, this would be a project in the sense of this definition.

Finally, in the last column ('Estimated Amount') try to put a value – expressed in ',000 €' (thousand Euros) – to the total number of projects you have defined in the previous column.

Then continue on the next row with the other sectors you have ticked in the table of Section 2.2 above.

**3.2 Experience by Geographical Area**

In this table you have to translate the information given in the table of Section 3.1 above into geographical terms. If all your experience is in your own country, then you have to fill in only one row and the information you give in the columns 'Year(s) of Experience', 'Number of Projects' and 'Estimated Amount' must correspond to the information provided in Section 3.1. If your experience is in several countries or regions (for example: East Africa, Caribbean, Fiji), then you must fill one row for each geographical area and break down the information given in Section 3.1 regarding 'Year(s) of Experience', 'Number of Projects' and 'Estimated Amount' between these countries or regions.

If you need more rows in the table, please copy an empty row and insert this at the bottom of the table.

The next table 'Cross-reference of experience by Sector and by Geographical area' combines the information you have provided in the tables of Sections 2.2 and 3.2. If you need more rows in the table, please copy an empty row and insert this at the bottom of the table.

**3.3 Resources**

This section is aimed at identifying the financial and human resources of your organisation. This information is needed to verify the financial and operational capacity required to implement the Action.

- **3.3.1 Financial data**

Here you are requested to provide certain financial information, which can be retrieved from your:

- Profit and loss account (the financial statement that shows the revenue, expenditure and the profit and/or loss of an organisation); and
- Balance sheet (the financial statement that shows the assets, liabilities and, if applicable, the owner's equity of an organisation).

You should interpret the table accordingly and add explanatory footnotes as necessary. 'N' is the most recent year for which the information is available – this should be 2007; 'N-1' is 2006; etc. So, replace 'N', 'N-1' and 'N-2' by the corresponding years (also to be done in the tables hereafter).

- **3.3.2 Financing Source(s)**

Indicate the sources of funding for your organisation for the last 3 years, where year 'N' is the same as year 'N' in the table of Section 3.3.1 above.

The column 'Number of fee-paying members' is mostly of use for NGOs and other associations who have members who pay fees. If you do have 'fee-paying members' in your organisation, then fill in this column in the row 'Member's fees', otherwise ignore it.

The last table in this section needs to be completed if the Applicant requests for a grant that is more than € 500,000. The name of an approved external auditor – recognized by public authorities – who has verified the financial data of the past three financial years of your organisation needs to be mentioned here, where year 'N' is the same as year 'N' in the tables above. The exact periods of the validity of the audit reports have to be mentioned in the last column as follows: Day/Month/Year.

- **3.3.3 Number of Staff**

EU applicants will find the first row most appropriate to indicate the number of staff of their institution. If some of their staff is (temporarily) seconded to institutions or projects in ACP countries, they may also make a corresponding entry in the second row. For ACP Applicants, the third row of the table is the most appropriate one.

Please note that you are requested to express the number of staff of your institution in full-time equivalents (FTE), paid and/or unpaid. If, for example, you have 20 staff members working for 50% of their time, this would convert into 10 full-time equivalent staff members.

## 4. List of the Management Board/Committee of your organisation

List here the members of the supreme decision-making body responsible for your institution (or, if you are applying as a legal entity within an institution, for that entity). You do not have to list members of secondary bodies. If you need more rows in the table, please copy an empty row and insert this at the bottom of the table.

## Section III: PARTNERS OF THE APPLICANT PARTICIPATING IN THE ACTION

### 1 Description of the partners

The following table must be filled in and numbered <u>for each partner</u> individually (Partner 1, Partner 2 ….). If you need more tables, please copy an empty table and insert this on a new page. The information should be provided by the partners to ensure it is complete and correct.

| | **Partner 1** |
|---|---|
| **EuropeAid ID number**: | You have to provide this identification number only if the institution is registered in the European Commission's on-line PADOR registration service, which is accessible through *http://ec.europa.eu/europeaid/onlineservices/pador*.<br><br>Please note that registration to the PADOR <u>is not compulsory.</u> |
| **Full legal name** | Indicate the full legal name of the institution. In cases where the partner is a Legal Entity <u>within an institution</u>, indicate the full name of the Entity followed by the full name of the institution, for example: *Faculty of Applied Sciences, Kenyatta University.* |

Partners that are registered in PADOR do not need to fill in the following part of the table:

However, to ensure a smooth processing of all information throughout the evaluation procedure and, in case of being awarded a grant, the contract negotiation phase, Applicants are strongly encouraged to still provide the information requested below.

| | |
|---|---|
| **Date of Registration** | Indicate here the date on which the institution was first officially registered with the competent authorities. |
| **Legal status** | Legal status of the institution or, if applicable, of the entity within the institution that acts as a partner in the Action. |
| **Official address of Registration** | This is the legal address under which the institution is registered for official purposes. It may be different from the postal address. |
| **Country of Registration** | Please spell out the name of the country in full where the institution is registered for official purposes. |
| **Contact person** | Indicate the title (Ms./Mr.), surname, first name and function of the person within the institution who is responsible for the participation in the Action. |
| **Telephone number**: country code + city code + | Indicate here the telephone number of the contact person or a general telephone number for the institution, if there is one. |

| | |
|---|---|
| number | This number will be used to contact the contact person if any information or clarification is needed concerning the application. Please ensure that this number is correct and notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **Fax number**: country code + city code + number | Indicate here the fax number of the contact person or a general fax number for the institution, if there is one.<br><br>This number will be used to contact the contact person if any information or clarification is needed concerning the application. Please ensure that this number is correct and notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **E-mail address** | Indicate here a valid e-mail address of the contact person or a general one for the institution, preferably a professional e-mail address. This is important as the e-mail address will be used in case of need for any additional information or clarifications regarding the partner's participation in the application. |
| **Number of employees** | Please give this number in full-time equivalent (FTE). |
| **Other relevant resources** | If applicable, please describe any relevant human, financial or material resources the institution can mobilise for the implementation of the Action. |

All partners must fill in the last part of the table:

| | |
|---|---|
| **Experience of similar Actions, in relation to the role in the implementation of the proposed Action** | Give title, name of funding agency and amount of funding, period of implementation, role and involvement, and names of other institutions participating in such Actions. |
| **History of cooperation with the Applicant** | If applicable, briefly describe the previous cooperation with the Applicant, both formal and informal. |
| **Role and involvement in preparing the proposed Action** | Describe the institution's role and participation in the process of preparing the application for the proposed Action. |
| **Role and involvement in implementing the proposed Action** | Describe the institution's role and participation in the implementation of the proposed Action.<br><br>The description given here must correspond to the one given in Part B, Section I (*'The Action'*) of the 'Grant Application Form'. |

**2. Partnership Statement**

This statement must be filled in and signed by each of the partners. If you need more partnership statement pages, please copy an empty one and insert this on a new page.

It is a very important document as it is the formal proof of the existence of the partnership. The signature on the partnership statement must be that of a person authorised to legally represent the institution.

The partnership statement must not be signed by the Applicant.

The application must contain the statements of all partners, preferably bearing an original signature. Faxed copies will be accepted, but you may be asked to provide the original at a later time.

Assembling the partnership statements should, therefore, be one of the very first activities to be undertaken once the partnership has been agreed, since experience shows that it may take considerable time to obtain them all.

## Section IV: ASSOCIATES OF THE APPLICANT PARTICIPATING IN THE ACTION

Associates play a real role in the Action, but may not receive funding from the grant with the exception of *per diems* or travel costs. Conversely, they may make a financial contribution to the project that will be included in the own contribution of the project. Associates do not have to meet the eligibility criteria set out in Section 2.1.2 of the 'Guidelines for Grant Applicants'.

The following table must be filled in for each associate and numbered (Associate 1, Associate 2, ….). If you need more tables, please copy an empty table and insert this on a new page.

| | **Associate 1** |
|---|---|
| **Full legal name** | Indicate the full legal name of the institution. In cases where the associate is a Legal Entity within an institution, indicate the full name of the Entity followed by the full name of the institution, for example: *Faculty of Applied Sciences, Kenyatta University.* |
| **EuropeAid ID number***:* | You have to provide this identification number only if the institution is registered in the European Commission's online PADOR registration service, which is accessible through *http://ec.europa.eu/europeaid/onlineservices/pador*.<br><br>Please note that registration to the PADOR is not compulsory. |
| **Country of Registration** | Please spell out the name of the country in full where the institution is registered for official purposes. |
| **Legal status** | Legal status of the institution or, if applicable, of the entity within the institution that acts as an associate in the Action. |
| **Official address** | This is the legal address under which the institution is registered for official purposes. It may be different from the postal address. |
| **Contact person** | Indicate the title (Ms./Mr.), surname, first name and function of the person within the institution who is responsible for the participation in the Action. |
| **Telephone number**: country code + city code + number | Indicate here the telephone number of the contact person or a general telephone number for the institution, if there is one.<br><br>This number will be used to contact the contact person if any information or clarification is needed concerning the application. Please ensure that this number is correct and notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **Fax number**: country code + city code + | Indicate here the fax number of the contact person or a general fax number for the institution, if there is one. |

| | |
|---|---|
| number | This number will be used to contact the contact person if any information or clarification is needed concerning the application. Please ensure that this number is correct and notify the PMU of the ACP Science and Technology Programme if there are any changes. |
| **E-mail address** | Indicate a valid e-mail address of the contact person or a general one for the institution, preferably a professional e-mail address. This is important as the e-mail address will be used in case of need for any additional information or clarifications regarding the partner's participation in the application. |
| **Number of employees** | Please give this number in full-time equivalent (FTE). |
| **Other relevant resources** | If applicable, please describe any relevant human, financial or material resources the institution can mobilise for the implementation of the Action. |
| **Experience of similar Actions, in relation to the role in the implementation of the proposed Action** | Give title, name of funding agency and amount of funding, period of implementation, role and involvement, and names of other institutions participating in such Actions. |
| **History of cooperation with the Applicant** | If applicable, briefly describe the previous cooperation with the Applicant, both formal and informal. |
| **Role and involvement in preparing the proposed Action** | Describe the institution's role and participation in the process of preparing the application for the proposed Action. |
| **Role and involvement in implementing the proposed Action** | Describe the institution's role and participation in the implementation of the proposed Action.<br><br>The description given here must correspond to the one given in Part B, Section I (*'The Action'*) of the 'Grant Application Form'. |

## Section V: CHECKLIST

Applicants are strongly encouraged to carefully go through the Checklist to crosscheck the documents required. Having completed Sections II (*'The Applicant'*) and III (*'Partners of the Applicant'*) of the 'Grant Application Form', you already have all the administrative information you need to fill in the first table of the Checklist.

Indicate on the top of the Checklist which lot your application refers to:

- either Lot 1 (funds from the 9th EDF)
- or Lot 2 (funds from the EC budget line 21.031700).

Make sure that all the partners appear in the table. You must make as many copies of the row 'Partner' as necessary to create entries for each partner and insert them all in this table.

| | |
|---|---|
| **Name of the Applicant** | It is important that you indicate the full name of the institution. In cases where the Applicant is a Legal Entity within an institution, indicate the full name of the Entity followed by the full name of the institution, for example: *Faculty of Applied Sciences, Kenyatta University.* |
| **EuropeAid ID number** | You have to provide this identification number only if your institution is registered in the European Commission's on-line PADOR registration service, which is accessible through: *http://ec.europa.eu/europeaid/onlineservices/pador*.<br><br>Please note that registration to the PADOR is not compulsory. |
| **Legal Entity File number** | You have to provide this number only if your institution has already signed a contract with the European Commission or the ACP Secretariat.<br>If this is the case, check this contract to find the number. |
| **Country and date of Registration** | Please spell out the name of the country in full where your institution is registered for official purposes. Indicate here the date on which your institution was first officially registered with the competent authorities. |
| **Legal status** | Legal status of the institution or, if applicable, of the entity within the institution that acts as the Applicant in the Action. |
| **Partner no. …** | Please provide here the same type of information for the partner as done for the Applicant above:<br>Name/EuropeAid ID number:<br>Nationality/Country of registration:<br>Legal status: |

The second table allows you to go through a final verification before sending your application. If everything is in order, only the cells in the column 'Yes' will be ticked.

## Section VI: DECLARATION BY THE APPLICANT

This declaration must be signed by the person authorised to do so on behalf of the Applicant (that is to say, the lead institution) and of the consortium (that is to say, all the partners). It must be included in the application as an original – no fax copies will be accepted.

Please read the declaration carefully. In particular, take note of the 5th bullet point which refers you to a list of documents in the 'Guidelines for Grant Applicants' that you will be required to produce within 15 working days only **in the case if** your application advances to the final stage of the evaluation process. This is further explained in Chapter 7.3 of this Manual ('The Evaluation Process').

In the 4th bullet point, reference is made to the *'Practical Guide to Contract procedures for EC external actions'* (available at the following Internet address: *http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/documents/new_prag_final_en.pdf*). This is a useful document to consult which explains the contracting procedures applying to all EC external aid contracts financed from the EDF and EC general budget. These are the financing sources of the ACP Science and Technology Programme.

The line 'list only Actions in the same field as this proposal' you are requested to insert in the lower part of this page (if applicable) can largely be produced from the information you have been asked to provide in Part B, Section I.I.5 (*'Experience of similar Actions'*) of the 'Grant Application Form'.

## Section VII: ASSESSMENT GRID

This page – presented on the following page – is added for your information only; do not tick any of the boxes. It shows you the different steps of the evaluation process, which are further explained in the following chapter of this Manual.

This table will be completed by the PMU of the ACP Science and Technology Programme, as the evaluation of proposals proceeds and according to the decisions of the Evaluation Committee.

*Assessment grid:*

| | YES | NO |
|---|---|---|
| **STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK** | | |
| 1. The Deadline has been respected. | | |
| 2. The Grant Application Form satisfied all the criteria mentioned in the Checklist (Section V of Part B of the Grant Application Form). | | |
| The administrative verification has been conducted by:<br>Date: | | |
| **DECISION 1:**<br>The Evaluation Committee has recommended the Concept Note for Evaluation after having passed the Administrative check. | | |
| **STEP 2 : EVALUATION OF THE CONCEPT NOTE** | | |
| **DECISION 2:**<br>The Evaluation Committee has approved the Concept Note and decided to proceed with the evaluation of the Full Application Form after having pre-selected the best Concept Notes. | | |
| The evaluation of the Concept Note has been conducted by:<br>Date: | | |
| **STEP 3: EVALUATION OF THE FULL APPLICATION FORM** | | |
| **DECISION 3:**<br>**A.** The Evaluation Committee has recommended the proposal for Eligibility verification after having been provisionally selected within the top-ranked scored proposals within the available financial envelope. | | |
| **B.** The Evaluation Committee has recommended the proposal for Eligibility verification after having been put on the reserve list according to the top-ranked scored proposals. | | |
| The verification of the proposal has been conducted by:<br>Date: | | |
| **STEP 4: ELIGIBILITY VERIFICATION** | | |
| 3. The supporting documents listed hereunder, submitted according to the Guidelines for Grant Applicants (Section 2.4), satisfied all the eligibility criteria of the Applicant and his partner(s). | | |
| a. The Applicant's statutes. | | |
| b. The statutes or articles of association of all partners is attached and duly signed. | | |
| c. The Applicant's external audit report (if applicable). | | |
| d. The Legal Entity File (see annex D of the Guidelines for Applicants) is duly completed and signed by the Applicant and is accompanied by the justifying documents requested. | | |
| e. A Financial Identification Form (see annex E of the Guidelines for Grant Applicants) is duly completed, signed and stamped by the Applicant and his bank. | | |
| f Copy of the Applicant's latest accounts. | | |
| The assessment of the eligibility has been conducted by:<br>Date: | | |
| **DECISION 4:**<br>The Evaluation Committee has selected the proposal for funding after having verified its eligibility according to the criteria stipulated in the Guidelines for Grant Applicants. | | |

# 7. Final stages

## 7.1 Validation of the proposal

At the proposal release, validate that with respect to the contents of the proposal:

- The proposal is what you expected.
- You are still interested in submitting the proposal.
- Are the objectives of the proposal and the envisaged results clear?
- The proposed approaches reflect the best cost/benefit balance and the partners' preferences.
- All the changes suggested by the partners in previous drafts of the proposal have been carefully studied and, when relevant, incorporated.
- The reasons why the ACP Secretariat should select the proposal are clear.
- All proposal parts are correct and optimized against the evaluation criteria.
- The methodology identifies everything needed to produce the results.
- The schedule in the action plan is the best allocation of time, and deadlines are realistic and enforceable.
- Assignments of tasks and responsibilities among the partners are correct, no one is overloaded, and everyone who can contribute is included.
- The proposal is compliant with the objectives of the ACP Science and Technology Programme and fits within the Call for Proposals.
- The proposal is sufficient to meet the required quality standards
- The checklist matrix includes all response requirements.
- The proposal is compliant with all requirements from the 'Grant Application Form' in the correct format and sequence; and it is properly sized and scoped.
- The proposal is ready for submission.

… and with respect to the production of the proposal:

- The proposal has been edited and proofread.
- The proposal matches the specifications of the Call for Proposals.
- The proposal has been assembled correctly and is ready for packaging and sending off (see Chapter 7.2 below).

## 7.2 THE LAST STEPS OF SUBMITTING THE PROPOSAL

### 1. Binding your proposal

All the elements of the proposal should be compiled according to the precise sequence of the 'Grant Application Form' and loosely bound in an A4-size (210mm by 297mm) binder:

- the application form (Part A and Part B);
- the budget and the financing sources (the two worksheets of Annex B); and
- the logical framework (Annex C).

**However:**

– The Checklist (Part B, Section V of the 'Grant Application Form') and

– The Declaration by the Applicant (Part B, Section VI of the 'Grant Application Form')

**must be loosely bound and enclosed separately in the envelope.**

Check that your paper and electronic copies (see next paragraph) are identical to the original application. The PMU of the ACP Science and Technology Programme will not be held responsible if the evaluators are unable to evaluate the proposal correctly because of the bad quality of the copies or missing parts or differences with the original.

Please follow this rule strictly. Non-compliance may not lead to the rejection of your proposal, but it will complicate the administrative check and the following steps of the evaluation process. Above all, it will raise doubts as to your management capabilities and the evaluation of your proposal will start with a burden. Avoid this!

## 2. What to send

- 1 original and 1 copy of the paper version of your proposal: one-sided printed, separately and loosely bound.
- An electronic version of your proposal. It must contain exactly the same information as the paper copy and can be provided in the form of a floppy disc or CD-Rom.

  The three components of the application (Grant Application Form, Budget and Logical Framework) must be submitted in a separate and unique electronic file. <u>Please do not split the Grant Application Form.</u>

  Please note that the Declaration by the Applicant (Part B, Section VI of the 'Grant Application Form') can, if possible, contain a scanned signature. Otherwise, leave this cell empty and provide the signature only as an original on the paper version of the 'Grant Application Form'.

  Do not send the electronic copy in 'pdf' format (the Portable Document Format from Adobe), as this will considerably complicate the process of entering your application into the ACP Science and Technology Programme database. Please use Microsoft Word and Microsoft Excel formats. If you wish, you can add a second electronic copy in 'pdf' format.

**If you submit more than one proposal, each one must be sent separately and conform to the above instructions.**

## 3. How, when and where to send your proposal

You can submit your proposal either by sending it by post or courier service or by hand-delivering it to the Programme Management Unit (PMU) of the ACP Science and Technology Programme in Brussels.

In the first case, please note that the deadline for the Call for Proposals (**16 February 2009**) is the deadline for <u>sending</u> it, <u>not for its receipt</u> in Brussels.

In case of hand delivery, you must arrive at the PMU address before 16:00 hours (Brussels time) on the day of the deadline and you will be given an acknowledgement of receipt to prove it.

Make sure to use the right address, that is to say, the address of the Programme Management Unit of the ACP Science and Technology Programme. Do not use any other address, such as the ACP Secretariat or the European Commission.

**Send your proposal in a sealed envelope labelled as below:**

**ACP Science and Technology Programme**
**Call for Proposals:**
**Lot No. *Insert the LOT number of the proposed Action***

**FROM: *Insert the full name and address of the APPLICANT***

**"Not to be opened before the opening session"**

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

In the top left corner of the envelope, you mention in separate lines: (a) the title of the Programme, (b) Call for Proposals and its number, (c) the number of the Lot, (d) the name and address of the sender, that is to say, the Applicant, and (e) the phrase "Not to be opened before the opening session".

In the middle of the page, you mention the full name and address of the PMU of the ACP Science and Technology Programme.

Ensure yourself once again that the packaging and labelling match the specifications of the Call for Proposals and then send it off.

**If you use the normal mail services:**

- inform the PMU by e-mail (info@acp-st.eu) or fax (+32-2-280.1406) of the sending by mail indicating the date of sending.

**If you use a courier service:**

- make sure that the address on the courier envelope is not only correct, but legible and includes the PMU telephone number in Brussels (+32-2-280.1737);
- inform the PMU by e-mail (info@acp-st.eu) or fax (+32-2-280.1406) of the sending by courier indicating:
  - the date of sending;
  - the name of the courier service; and
  - the courier service's registration number of the shipment.

In any case, keep some documentary proof of having sent your application before the deadline so that there can be no doubt about it.

## 7.3 THE EVALUATION PROCESS

### 1. The Evaluation Committee

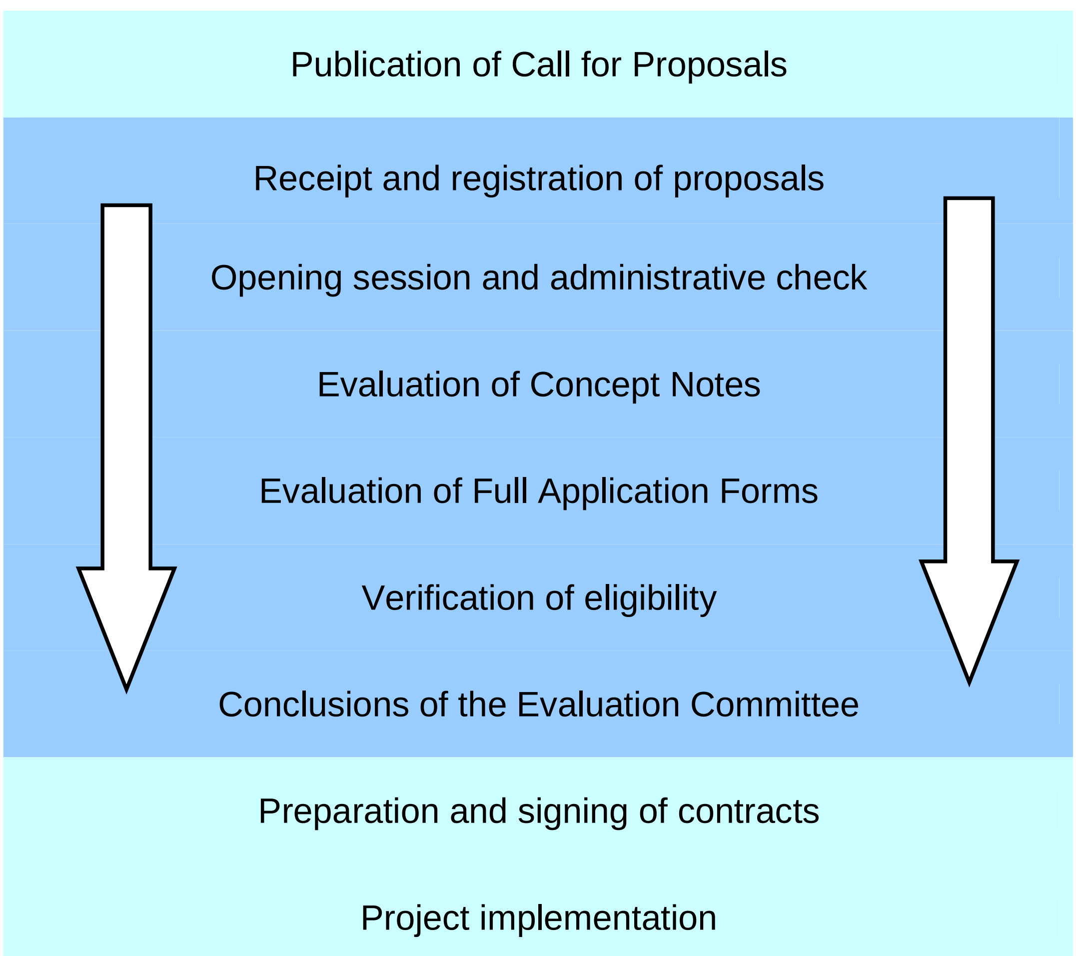
Proposals are evaluated by an Evaluation Committee appointed by the ACP Secretariat. It consists of a non-voting Chairperson, a non-voting Secretary and three voting members.

The detailed evaluation will be carried out by a team of independent assessors. The Evaluation Committee will conduct its deliberations on the basis of their assessments.

The task of the assessors consists of carrying out a written assessment of the concept notes (Part A of the 'Grant Application Form') and of the full application forms (Part B of the 'Grant Application Form') on the basis of the respective evaluation grids, which are presented in Section 2.3 of the 'Guidelines for Grant Applicants'. At least two assessors will assess each concept note and each full application form, working independently of each other.

### 2. The Evaluation Process

The evaluation process consists of a series of successive steps; each is undertaken only after the previous one has been completed. These steps are:



## Receipt and registration of proposals

Upon receipt, the proposals will be registered and for those delivered by hand an acknowledgement of receipt will be issued. The envelopes remain sealed and in a safe place until the opening session.

## Opening session and administrative check

All proposals received will be opened in an opening session at which the registration details will be checked and the proposals numbered. Proposals not submitted before the specified deadline (as evidenced by the postmark or the date of the deposit slip) will be disqualified at this time. The secretary of the Evaluation Committee supervises the opening session.

Proposals that have been submitted before the deadline are then subject to an administrative check, which assesses whether they satisfy all the criteria mentioned in the checklist tables shown in Part B, Section V of the 'Grant Application Form'.

Incomplete proposals will be disqualified from the further evaluation process. However, if only minor inconsistencies are found, the Evaluation Committee may decide to invite the Applicant to submit a clarification within a fixed deadline.

Following the opening session and the administrative check, the Evaluation Committee will meet to decide on any contentious case and signs the 'Proposal Opening Session and Administrative Check' report.

A standard letter will then be sent to all Applicants informing them whether or not their application was found to be submitted before the deadline, whether or not it has satisfied all the administrative criteria mentioned in the checklist and whether or not their concept note has been recommended for further evaluation. The letter will also inform the Applicants of the application reference number allocated to their proposal which must be used in all further correspondence.

## Evaluation of the Concept Note

In the next phase of the evaluation process, the concept notes of applications submitted before the deadline and having satisfied the administrative criteria will undergo an evaluation of the relevance of the Action, its effectiveness, as well as of its feasibility and sustainability on the basis of the following evaluation grid:

*Evaluation grid for the Concept Note:*

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

* these scores are multiplied by 2 because of their importance.

This evaluation grid is also shown in Section 2.3 of the 'Guidelines for Grant Applicants'. The overall assessment is based on the scores obtained under each subheading, added up by heading. The final score is the arithmetical average of the scores given by the two assessors.

The secretary of the Evaluation Committee will then prepare a list of all evaluated concept notes, ranked by score:

- As a first step, only the concept notes which have been given a score of at least 12 points (out of 15) in the category 'Relevance', as well as a minimum total score of 30 points (out of 50) will be considered for pre-selection.
- In a second step, counting in descending order of the total scores, only the set of concept notes for which the cumulative sum of grant requests totals no more than twice the amount available for the Call for Proposals (that is to say, 2 x 28 million EUR = 56 million EUR for Lot 1 and 2 x 5 million EUR = 10 million EUR for Lot 2) will be considered for pre-selection.

Thus the applications of which the concept notes have been pre-selected according to the above ranking list will undergo the next evaluation step (evaluation of the full application form).

A standard letter will then be sent to the Applicants whose concept note have been evaluated, informing them whether or not their full application form will be evaluated in the next step of the evaluation process.
For those applications that will not pass to the next phase, the letter will indicate the reason and include the scores attributed to each section and sub-section of the evaluation grid shown in Section 2.3 of the 'Guidelines for Grant Applicants'.

**Evaluation of the Full Application Form**

The quality of the full applications forms will be assessed on the basis of the evaluation grid shown in Section 2.3 of the 'Guidelines for Grant Applicants' (and presented below) containing the selection and award criteria. Comments are made for each heading on the basis of the questions and criteria used for that heading and, in particular cases, for specific subheadings. The overall assessment is based on the scores obtained under each subheading, added up by heading. The final score is the arithmetical average of the scores given by the two assessors.

The Secretary of the Evaluation Committee will then prepare a list of all the proposals, ranked by score:

- As a first step, only the applications which have been given a score of at least 12 points (out of 20) in the category 'Financial and operational capacity' and 20 points (out of 25) in the category 'Relevance' will be considered for provisional selection.
- In a second step, counting in descending order of the total scores, only the set of applications for which the cumulative sum of grant requests totals no more than the available budget for the Call for Proposals (that is to say, 28 million EUR for Lot 1 and 5 million EUR for Lot 2) will be considered for provisional selection.

According to the above ranking list, a table will be established with the provisionally selected proposals. These applications will undergo the next evaluation step (verification of eligibility of the Applicant and partners).

The Evaluation Committee will, furthermore, draw up a reserve list comprising a limited number of proposals having obtained the best scores after those provisionally selected for financing. The proposals included in that list are likely to receive a grant only if funds become available under the Call for Proposals (because of: decrease of the eligible costs of the selected proposals; rejection of the proposal in the eligibility verification step – see below; impossibility to sign a contract with a selected Applicant; etc).

*Evaluation grid for the Full Application Form:*

| Section / subsection | Maximum Score |
|---|---|
| **1. Financial and operational capacity** | **20** |
| 1.1 Do the Applicant and partners have sufficient **experience of project management**? | 5 |
| 1.2 Do the Applicant and partners have sufficient **technical expertise**? (notably knowledge of the issues to be addressed.) | 5 |
| 1.3 Do the Applicant and partners have sufficient **management capacity**? (including staff, equipment and ability to handle the budget for the Action)? | 5 |
| 1.4 Does the Applicant have stable and sufficient sources of **finance**? | 5 |
| **2. Relevance** | **25** |
| 2.1 How relevant is the proposal to the **objectives** and one or more of the **priorities** of the Call for Proposals?<br>Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least **one priority**.<br>Note: A score of 5 (very good) will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality, equal opportunities, … | 5 x 2 |
| 2.2 How relevant to the particular **needs and constraints** of the target country/countries or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication.) | 5 |
| 2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, **target groups**)? Have their **needs** been clearly defined and does the proposal address them appropriately? | 5 x 2 |
| **3. Methodology** | **25** |
| 3.1 Are the **activities** proposed appropriate, practical, and consistent with the objectives and expected results? | 5 |
| 3.2 How coherent is the overall design of the Action?<br>(in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an **evaluation**?) | 5 |
| 3.3 Is the **partners' level of involvement and participation in the Action** satisfactory? | 5 |
| 3.4 Is the **Action plan** clear and feasible? | 5 |
| 3.5 Does the proposal contain **objectively verifiable indicators** for the outcome of the Action? | 5 |
| **4. Sustainability** | **15** |
| 4.1 Is the Action likely to have a tangible **impact** on its target groups? | 5 |
| 4.2 Is the proposal likely to have **multiplier effects**? (including scope for replication and extension of the outcome of the Action and dissemination of information.) | 5 |
| 4.3 Are the expected results of the proposed Action **sustainable**:<br>- financially *(how will the activities be financed after the funding ends?)*<br>- institutionally *(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?)*<br>- at policy level (where applicable) *(what will be the structural impact of the Action — e.g., will it lead to improved legislation, codes of conduct, methods, etc?)* | 5 |
| **5. Budget and cost-effectiveness** | **15** |
| 5.1 Is the ratio between the estimated costs and the expected results satisfactory? | 5 |
| 5.2 Is the proposed expenditure **necessary** for the implementation of the Action? | 5 x 2 |
| **Maximum total score** | **100** |

A standard letter will be sent to the Applicants, stating whether or not their proposal has been provisionally selected according to its score:

- Applicants whose proposals have been provisionally selected will be invited to supply the supporting documents listed in Section 2.4 of the ‘Guidelines for Grant Applicants’. These documents must be provided within 15 calendar days following the receipt of the provisional selection notification from the ACP Secretariat.
- Applicants whose proposals have been put on the reserve list will be informed that there application was rejected, indicating the reason and including the scores attributed to each section and sub-section of the evaluation grid shown in Section 2.3 of the ‘Guidelines for Grant Applicants’. However, they will still be invited to supply the supporting documents listed in Section 2.4 of the ‘Guidelines for Grant Applicants’ (within 15 calendar days following the receipt of the provisional selection notification from the ACP Secretariat).
- For those applications that were rejected, the letter will indicate the reason and include the scores attributed to each section and sub-section of the evaluation grid shown in Section 2.3 of the ‘Guidelines for Grant Applicants’.

**Submission of supporting documents**

The Applicants from those proposals that have either been provisionally selected or put on the reserve list will be requested by the ACP Secretariat to supply a set of additional documents in order to verify the eligibility of the Applicants and partners:

Statutes or articles of association of the Applicant’s and partner’s organisation:
The Applicant’s organisation as well as each partner’s organisation must provide a copy of their statutes (legal act of establishment or Court registration) or articles of association (a formal document that regulates the organisation’s internal management and administrative affairs).

These formal documents do not need to be submitted by those Applicants and/or partners whose eligibility has already been recognised by the ACP Secretariat or the EC in another Call for Proposals under the same budget lines within 2 years before the deadline for submission of applications of the current Call for Proposals. These budget lines are the 9$^{th}$ EDF and the budget line 21.03.17 ‘European Programme for Reconstruction and Development’ (see Section 1.3 of the ‘Guidelines for Grant Applicants’). It is sufficient if in these cases a copy of the document is enclosed proving the eligibility of the Applicant and/or partner(s) in such former Call for Proposals (e.g., a copy of the Special Conditions of a grant contract received). However, if a change in the legal status has occurred in the meantime, a copy of their statutes or articles of association still has to be submitted. This obligation does not apply to international organisations which have signed a framework agreement with the EC.

A copy of the Applicant’s latest accounts:
Only when the Applicant is not a public entity or an international organisation, a copy of the Applicant’s accounts has to be provided that covers the previous financial year for which the accounts have been closed. This concern the:

- Profit and loss account (the financial statement that shows the revenue, expenditure and the profit and/or loss of an organisation); and
- Balance sheet (the financial statement that shows the assets, liabilities and, if applicable, the owner’s equity of an organisation).

Legal Entity Sheet of the Applicant:
According to the legal statute of the Applicant’s organisation, the Applicant must fill out the Legal Entity Sheet of one of the two categories of entities which are provided in Annex D of the ‘Guidelines for Grant Applicants’: ‘Public Entities’ or ‘Private Companies’. The form has also to:

- be signed and dated by an authorised representative of the Applicant's organisation. In the case of a public entity, the name and function of the authorised representative must be given too.
- be stamped.

Please ensure that you also attach some additional supporting documents which are requested in the footnotes of the form.

In the case of a 'private company', this concern:

- A copy of an official document (official gazette, company register etc.) showing the name of the legal entity, the address of the head office and the registration number given to it by the competent national authorities.
- A copy of the VAT registration document, if applicable, and if the VAT number does not appear on the above official document.

In the case of a 'public entity', this concern:

- A copy of the resolution, law, decree or decision establishing the entity in question. Or, when such document cannot be provided, any other official document attesting to the establishment of the entity by the competent national authorities.
- If in the form the VAT field is completed, please attach an official VAT document.

As a general rule, you will have to fill out this form and submit them together with the additional supporting documents to the ACP Secretariat only once. If the Applicant has already signed a contract with the ACP Secretariat or the EC, the 'Legal Entity File Number' previously assigned may be provided, which is the same number as stated in the table of Part B, Section II.1 of the 'Grant Application Form'.

However, in the event of change of the legal status of the Applicant's organisation compared to what is already recorded, you will be required to provide a new form, completed, signed and stamped, accompanied if necessary by the adequate supporting documents.

The above requested legal co-ordinates allow the ACP Secretariat to record and validate this information which is needed to verify the eligibility of the Applicant and, in the case of being awarded a contract, to launch the necessary contract procedures.

<u>Financial Identification Form of the Applicant</u>:
In order to allocate funds to the bank of the Applicant's organisation, in the case of being awarded a contract, the Financial Identification Form in Annex E of the 'Guidelines for Grant Applicants' – or another form with the same information – needs to be filled out correctly. It is very important to make sure that the denomination (title) under the item 'Contact' and the other contact co-ordinates, as well as the account and bank information are exactly in conformity with what is recorded at the bank.

If the Applicant has already signed a contract with the ACP Secretariat or the EC, or where the EC has been in charge of the payments of a contract, a copy of the previous Financial Identification Form may be provided instead. However, if the banking co-ordinates have changed, you will be required to provide a new form, completed, signed and stamped, accompanied if necessary by the adequate supporting documents.

<u>Audit firm co-ordinates</u>:
Whenever a contract is awarded and the Action is being implemented, the Action's expenditure will have to be verified by an independent and approved auditor who is a member of an internationally recognised supervisory body for statutory auditing. Therefore, the name, complete address and contact details of this audit firm must be given.

Further details of this verification are provided in Article 15.6 of the General Conditions to the standard Grant Contract (see Annex F of the 'Guidelines for Grant

Applicants'), which can be consulted at the following Internet address: *http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_2gencond_en.pdf*.

**Verification of eligibility**

The proposals that have been provisionally selected will undergo an eligibility verification of the Applicant and its partners. This assessment will be carried out using the 'Declaration by the Applicant' shown in Part B, Section VI of the 'Grant Application Form' and the criteria set out in the Sections 2.3 and 2.4 of the 'Guidelines for Grant Applicants':

- Is the 'Declaration by the Applicant 'in conformity with the supporting documents provided?

  Any missing supporting document or any incoherence between the Declaration and the supporting documents will lead to the rejection of the proposal on that sole basis.

- Are the Applicant, the partners and the Action eligible?

Following the above analysis, any rejected proposal will be replaced by the next best placed proposal in the reserve list that falls within the available financial envelope. This proposal will then undergo the eligibility verification examination.

Even though the verification of eligibility is foreseen to be carried out only for the provisionally selected proposals at the end of the evaluation process, the Evaluation Committee may decide to verify this item at any previous step of the procedure. Taking into account 'good administrative practices', the Evaluation Committee can exclude an Applicant at any stage of the evaluation process whenever it is obvious that the Applicant does not meet the eligibility criteria.

The Secretary of the Evaluation Committee will draw up a list containing the proposals which are found to be ineligible. For each entry on the list, the grounds for ineligibility must be identified.

A standard letter will be sent to the Applicants whose proposal has not been selected or whose proposal remains on the reserve list:

- Applicants who had been put on the reserve list and who have been found eligible on the basis of the provided supporting documents will be informed that they remain on the reserve list. Only if funds become available under the Call for Proposals (as explained above), they may still have a chance to be awarded a grant.
- For those applications that were rejected, the letter will indicate the reason.

**Conclusions of the Evaluation Committee**

The Evaluation Committee will ultimately draw up a list of the proposals selected for financing. This list is made up of the proposals obtaining the best scores, ranked by order, within the limits of the funds available under the Call for Proposals.

However:

- The Evaluation Committee may not allocate all the available funds if it finds that there are too few proposals of the quality required to receive a grant.
- The Evaluation Committee may reject a proposal if it has selected another one which is of a similar nature, but has been awarded a higher score.
- If several proposals submitted by the same Applicant are selected for financing, but the Applicant is judged not to have the financial and operational capacity required to implement the Actions all together, the Evaluation Committee may reject the proposal(s) which has (have) been awarded a lower score, and select the proposal(s) where

the Applicant has the capacity to implement.

A final Evaluation Report is drawn up following the final meeting of the Evaluation Committee. It comprises the completed evaluation grids, the eligibility verification and the minutes of the evaluation sessions. The report will be signed by all members of the Evaluation Committee.

Once the approvals have been given, the ACP Secretariat will commence awarding the grants. A standard letter will be sent to the Applicants from awarded grants. The award decision contains the subject and overall amount of the decision, the evaluation outcomes and, where appropriate, the grounds for the decision by the ACP Secretariat to depart from the recommendations made by the Evaluation Committee in the report in respect of a particular proposal. The letter also announces the start of the grant contract preparation procedures.

The entire procedure, from the drawing-up of the Call for Proposals to the selection of successful Applicants, is confidential. The Evaluation Committee's decisions are collective and its deliberations must remain secret.

## 7.4 Sources of further guidance

**ACP Science and Technology Programme**

- **Information** about this ACP-EU co-operation programme on science and technology, the current Call for Proposals and Frequently Asked Questions:

  *http://www.acp-st.eu*

  *http://www.acpsec.org*
  (ACP Secretariat)

  *http://ec.europa.eu/europeaid/work/funding/index_en.htm*
  (EuropeAid Calls for proposals and tenders)

**European Commission**

- **Practical Guide to Contract procedures for EC external actions.** This is a useful document to consult which explains the contracting procedures applying to all EC external aid contracts financed from the EDF and EC general budget. These are the financing sources of the ACP Science and Technology Programme:

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

- Information about **how to prepare a project proposal** and manage a project with respect to its quality (in terms of the relevance, feasibility and effectiveness of projects) in the document 'Project Cycle Management Guidelines':

  *http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm*

- Guidance on **how to make the project visible** and examples on types of visibility actions:

  *http://ec.europa.eu/europeaid/work/visibility/index_en.htm*

- **PADOR** on-line registration service for consulting or acquiring an EuropeAid ID number:

  *http://ec.europa.eu/europeaid/onlineservices/pador*

- **Currency exchange rates** at **InforEuro**, the EC's website with the monthly accounting rate of the Euro:

  *http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en*

- ***Per diem* rates** by country of destination:

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

- The **General Conditions to the standard Grant Contract**:

  *http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_2gencond_en.pdf*

- **Seventh Framework Programme for research and technology development (FP7).** It bundles all research-related EU initiatives together under a common roof playing a crucial role in reaching the goals of growth, competitiveness and employment:

  *http://cordis.europa.eu/fp7/home_en.html*

**OECD**

- **List of sectors** needed to complete Part B, Section I (paragraphs 1.4 and 1.5) and Section II (paragraph 2.2, 3.1 and 3.2) of the 'Grant Application Form':

  *http://www.oecd.org/document/21/0,3343,en_2649_34469_1914325_1_1_1_1,00.html*

## 7.5 A FINAL WORD

In this Manual, we have tried to give you guidance on how to prepare and present your proposal in the Call for Proposals of the ACP Science and Technology Programme. As we have pointed out in the Introduction, it is not possible to cover all the questions that YOU may have in YOUR specific situation.

Do not hesitate, therefore, to ask the Programme Management Unit (PMU) of the ACP Science and Technology Programme any question for which you did not find an answer in this Manual or in the 'Guidelines for Grant Applicants'. You can do this by:

- sending an e-mail to: info@acp-st.eu
- checking the FAQ section (Frequently Asked Questions) on the Website of the ACP Science and Technology Programme at the following Internet address: www.acp-st.eu or
- sending a fax to: +32-2-280.1406

The PMU will do its best to give you a quick and complete reply. However, we would like to point out once more that the PMU may and will answer only to questions related to the formal aspects of your proposal. For reasons of impartiality the PMU is not allowed to answer questions related to the content of a proposal.

# GLOSSARY

| | |
|---|---|
| ACP | African, Caribbean and Pacific. |
| ACP Group of States | The African, Caribbean and Pacific Group of States. The Group is composed of the 79 African, Caribbean and Pacific States (see Chapter 2 of this Manual) who are signatories – apart from Cuba – to the Georgetown Agreement (signed in 1975 and revised in 2003) or the Partnership Agreement between the ACP and the EU (signed in 2000), officially called the 'ACP-EC Partnership Agreement' or the 'Cotonou Agreement'. It aims to coordinate co-operation between its members and the EU, but also in diverse international fora such as the WTO covering trade, economics, politics and culture. Internet address: *http://www.acpsec.org* |
| ACP Secretariat | The Secretariat responsible for the administrative management of the ACP Group of States: it assists the Group's decision-making and advisory organs in carrying out their work; its headquarters is located in Brussels (Belgium). Internet address: *http://www.acpsec.org* |
| ACP Science and Technology Programme | An ACP-EU co-operation programme that promotes intra-ACP co-operation in the field of science and technology innovations and capacity building, with specific reference to formulating and implementing science and technology policies that can lead to sustainable development and poverty reduction through economic growth and progressive integration in the world economy. It funds partnership projects to be selected from a public Call for Proposals. Internet address: *http://www.acp-st.eu* |
| Action -or- Project | The set of activities the partnership proposes to carry out: (a) it is a planned undertaking of related activities to reach an objective; and (b) it has a defined beginning and end and typically its own funding, accounting, and delivery schedule. By definition, all projects are unique, which is one reason it is difficult to compare different projects to one another. |
| Action plan -or- Work plan | A schematic overview of the major project activities to be performed during the implementation period of the project which presents, in chronological order, the major activities and tasks together with the period of implementation and the implementing organization(s). It will also be used in preparing project reports to reflect the accomplishment of objectives and results. |
| Administrative costs | The overheads or indirect costs, that is to say, the eligible costs which are not directly attributable to the project, but are incurred in relation to the direct costs of the project. The ACP Science and Technology Programme applies here a maximum of 7% of the total eligible direct costs of the project. |

| | |
|---|---|
| Applicant | The lead institution within the partnership that submits the proposal and, if the proposal is selected, signs the grant contract and becomes the Beneficiary of the grant. |
| Application -or- Proposal | Written request for a grant or contribution to implement a project. It outlines why the grant is needed, the purpose it will serve, the plan for meeting the need, the required resources, the amount of money needed, and information about the Applicant and its partners. |
| Articles of association | The body of rules, directions and regulations for internal regulation of an organisation, that is to say, the internal affairs of the organisation, including the powers and duties of its members, and formalities attaching to the convening and holding of meetings and procedure of rules for members attending them. |
| Associate | Organisation that has a real role in the Action, but cannot receive funding from the ACP Science and Technology Programme, with the exception of *per diems* or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1 of the 'Guidelines for Grant Applicants'. |
| Assumption | An external – critical – factor which could affect the progress or success of the project, but over which the project (manager) has no direct control. |
| Audit | A formal examination of an organisation's accounts or financial situation. An audit may also include examination of compliance with applicable terms, laws, and regulations. |
| Award criteria | The evaluation criteria – applied in the 'Full Application Form' evaluation step under this Call for Proposals – that allow to assess the quality of the proposals submitted in relation to the set objectives and activities, and to award grants to Actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of proposals which the ACP Secretariat can be confident will comply with its objectives and priorities and guarantee the visibility of EC financing. These criteria cover such aspects as the relevance of the Action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness. |
| Balance sheet | The financial statement that shows the assets, liabilities and, if applicable, the owner's equity of an organisation. |
| Beneficiary -or-<br>Grant Beneficiary | The organisation that signs a grant contract with the ACP Secretariat and receives the grant on behalf of the partnership. |
| BUDGET | The European Communities general budget. |
| Call for Proposals | A public invitation by the Contracting Authority, addressed to clearly identified categories of applicants, to propose operations within the framework of a specific grant programme. |

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| Capacity building | Strengthening the operating efficiency of an organisation, group or individual through training (increasing knowledge), changed operating procedures, restructuring, etc. |
| Civil society actors | National and international non-governmental organisations, community-based groups, academic institutions, professional organisations, faith-based organisations, women's organisations, schools, research institutions, etc. |
| c/o | 'Care of', used when sending something to an address in care of the person or department that resides or has an office at that address. |
| Concept Note | An abstract or comprehensive description of a project or a short version of a project proposal. It is part of the Grant Application Form and has a specific format. |
| Consortium | A grouping of eligible natural and legal persons which submits an application in response to a Call for Proposals. It may be a permanent, legally-established grouping or a grouping which has been constituted informally for a Call for Proposals. All members of a consortium (that is to say, the leader and all other partners) are jointly and severally liable to the Contracting Authority. |
| Consortium agreement -or- Co-operation agreement | A formalized agreement or collaborative arrangement in support of a project between the Applicant and the partners which describes the purpose of the partnership, assures the collaboration between the members of the partnership and their role and responsibilities, and stipulates the usage of results in the form of terms and conditions of the joint implementation of the project. It is a separate document from the formal Grant Contract between the Contracting Authority and the Grant Beneficiary. |
| Contingency plan -or- Emergency plan -or- Back-up plan | A plan that identifies potential problems or risks that may occur during the project period and that are beyond the control of the project. It also identifies alternative strategies to mitigate the unintended consequences in order to still continue with the project and achieve the project results. |
| Contract -or- Grant Contract | A legal document that states the agreement, between the ACP Secretariat and the Beneficiary, with specific terms and an undertaking to implement a project, selected from a Call for Proposals, in return for a financial contribution. |
| Contracting Authority | The ACP Secretariat, acting for and on behalf of the EC, in the execution, management and administration of the ACP Science and Technology Programme, assisted by a Programme Management Unit (PMU). The European Commission exercises systematic *ex-ante* controls, that is to say, that every step requires prior approval from the European Commission before they are taken by the Contracting Authority. |

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| Contribution in kind | A contribution – in the form of material, equipment or services – provided by a member of the partnership or a third party to the project that has a monetary value, but is, however, not charged to the project. |
| Criteria | The standards, measures, or expectations used in making an evaluation or verification. |
| Critical path | The sequence of activities that must be completed on schedule for the entire project to be completed on schedule. Its cumulative time requirements determine the minimum total project time. Delay in critical path activities delay the entire project if other steps are not compressed. |
| Direct costs | All costs that fall under the definition of eligible costs which can be charged directly to the project. |
| EC | European Community. |
| EC general budget | Within this Call for Proposals, Lot 2 receives funding from the EC general budget (BUDGET), more specifically from the European Programme for Reconstruction and Development (EPRD), the development co-operation programme between the EC and South Africa, financed from the EC budget line 21 03 17. |
| EDF | European Development Fund, the main instrument for providing EC aid for development co-operation in the ACP States and the Overseas Countries and Territories (OCT). Within this Call for Proposals, Lot 1 receives funding from the EDF. Internet address: *http://ec.europa.eu/development/how/source-funding/edf_en.cfm* |
| EEA | European Economic Area. It unites three of the four EFTA Member States (Iceland, Liechtenstein and Norway) and the 27 EU Member States into an Internal Market, which is governed by the same basic rules. These rules aim to enable goods, services, capital, and persons to move freely among the EEA countries in an open and competitive environment. Internet addresses: *http://www.efta.int/content/eea* *http://ec.europa.eu/external_relations/eea* |
| EFTA | European Free Trade Association, an intergovernmental organisation set up for the promotion of free trade and economic integration to the benefit of its four Member States: Iceland, Liechtenstein, Norway and Switzerland. Internet address: *http://www.efta.int* |
| Eligible costs | Costs in the project which are actual, economic and necessary for the implementation of the project. They must be determined in accordance with the terms of the Call for Proposals (see Section 2.1.4 of the 'Guidelines for Grant Applicants') and incurred during the duration of the project, except for the costs in drawing up the final report. Once the project is awarded a grant, these costs are reimbursable in full or in part by the Contracting Authority, under the terms of the Contract that is the basis for the project. |

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| Eligibility criteria | A set of specified characteristics that are required for a proposal to take part in the Call for Proposals. with respect to the type of participants, the type of project they would like to execute and the type of costs needed to implement the proposed project. |
| EMU | European Monetary Union. |
| EPRD | European Programme for Reconstruction and Development in South Africa. |
| Established network | Within the context of the ACP Science and Technology Programme, this is a consortium of organisations existing prior to submitting an application and fulfilling the following criteria:<br>• all network members and the network headquarters are located in eligible countries;<br>• the network has a legal status;<br>• the network is applying in its own right; and<br>• the network has been registered for a minimum of two years |
| EU | European Union. It is an intergovernmental organisation – currently composed of 27 European nations (see Chapter 2 of this Manual) – created in 1991 with its own institutional structures and decision-making framework. It aims to enhance political, economic and social co-operation among its 27 members (or Member States). It is also called the European Community or the Common Market. Internet address: *http://europa.eu* |
| Euro | The common currency of the countries participating in the EMU, that is to say, the EU Member States which belong to the Euro zone. Its currency sign is '€' and its banking code is 'EUR'. |
| EuropeAid | The EC's Co-operation Office that manages EU external aid programmes: it finances – with funds from the EC general budget and EDF – external actions to beneficiary countries through financing agreements, namely legal acts concluded with those States, and by other means such as calls for proposals and actions implemented by other international organisations. Internet address: *http://ec.europa.eu/europeaid* |
| Evaluation | *(of a project)* – The assessment of how well a project achieved its objectives. This can be done at regular intervals, at mid-term or at the end of a project. It seeks to understand what happened and why, to look for impact and to learn lessons.<br>*(of a proposal)* – An integrated assessment of a submitted proposal which uses a minimum set of administrative requirements and evaluation criteria to determine whether the proposal satisfies the application requirements. The process examines and assesses the merits of each proposal against the application requirements and rates the proposals on each evaluation criterion. |

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| Evaluation Committee | A committee made up of a number of members (at least three) with the necessary technical and administrative expertise to give an informed opinion on the grant applications. |
| Evaluation criteria | The standards used to evaluate a proposal. |
| Expat/International staff | An expatriate (in abbreviated form ‘expat’) or international staff member is a project staff member temporarily residing in the country and culture where the project is located other than that of the person's upbringing or legal residence or of the headquarters of the organisation he is working for. |
| FAQ | Frequently Asked Questions. |
| Final beneficiary | Those groups or entities which will benefit from the project in the long term at the level of the society or sector at large. |
| Financial Identification Form | A standard form used to provide banking co-ordinates in order to allocate funds to the bank of the Applicant’s organisation in the case of being awarded a contract. |
| Finish-to-finish | A model used in project management which refers to the particular and specific long-term and logical relationship between one particular activity and another particular activity within the project. This relationship is based on the end times and the activities can start whenever needed. |
| Finish-to-start | A model used in project management whereby a particular activity cannot start until another activity has completed. This is by far the most common relationship between multiple activities. |
| FP7 | Seventh Framework Programme for research and technology development. It bundles all research-related EU initiatives together under a common roof playing a crucial role in reaching the goals of growth, competitiveness and employment. Internet address: *http://cordis.europa.eu/fp7/home_en.html* |
| Framework agreement | An agreement between the EC and the beneficiary international organisation, in particular to UN programmes, as part of an ongoing, formalised relationship of co-operation. |
| FTE | Full-Time Equivalent. |
| Full Application Form | The extended version of a project proposal. It is part of the Grant Application Form and has a specific format. |
| General Conditions | The general contractual provisions setting out the administrative, financial, legal and technical clauses governing the execution of all contracts of a particular type. It forms an integral part of the set of contractual documents. Internet address: *http://ec.europa.eu/europeaid/work/procedures/documents/execution/grants/e3h_2gencond_en.pdf* |
| Grant | A type of financial contribution of a non-commercial nature awarded by the Contracting Authority to the Beneficiary to undertake the project activities as stipulated in the contract with the Contracting Authority in order to promote the |

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| | objectives of the ACP Science and Technology Programme. |
| Grant Application Form | The standard form used to apply for a grant. It has to be submitted by the Applicant on behalf of the partnership. It consists of a set of mandatory documents (Concept Note and Full Application Form) and annexes (Budget, Sources of funding, Logical Framework) to be completed. |
| Guidelines for Grant Applicants | A document explaining the purpose of a Call for Proposals for grants. It sets out the rules regarding who may apply, the types of activities and costs which may be financed, and the evaluation (selection and award) criteria. It also provides practical information on how to complete the Grant Application Form, what documents must be annexed, and rules and procedures for applying. |
| ID number | Identification number. |
| Indicator | A measurable characteristic that can be used to determine the degree of adherence to a standard or the level of quality achieved. It is used to monitor or evaluate the achievement of project activities, results and objectives over time. |
| InforEuro | The EC's website with the monthly accounting rate of the Euro. Internet address: *http://ec.europa.eu/budget/inforeuro/index.cfm?Language=en* |
| Inputs | The financial, human, material, technological and information resources which are needed for the implementation of the project. |
| Internal Market -or- EU Internal Market | One of the cornerstones of EU co-operation, that is to say, a trading area governed by the same basic rules, enabling the free movement of goods, services, capital and people - the four freedoms. The internal market encompasses the EU Member States plus the EEA countries Norway, Iceland and Liechtenstein. |
| Intervention logic | A systematic and reasoned description of the links between a project's activities, results, specific and overall objectives. In the Logical Framework Matrix, this should be a brief description provided in the form of a narrative summary. |
| Legal Entity Sheet | The standard form used to describe the legal status of the Applicant. Within the context of this Call for Proposals, a legal entity has, in the eyes of the law, the capacity to enter into a contract with the Contracting Authority and the abilities to assume an obligation and to pay off its debts. A legal entity, under the law, is responsible for its actions and may be sued for not performing in accordance with the contract. |
| LFA | Logical Framework Analysis or Logical Framework Approach. A methodology for planning, managing and evaluating programmes and projects in a structured and analytical manner. It involves situation analysis, |

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| | stakeholder analysis, problem analysis, objectives analysis, analysis of alternatives, and the preparation of the Logical Framework Matrix. |
| Local staff | Staff placed in the project location that is hired on the local market. |
| Logical Framework (Matrix) -or- Logframe | A management tool used to improve the design of a project. It involves identifying strategic elements (inputs, outputs, outcomes and impact) and their causal relationships, indicators, and the assumptions and risks that may influence success and failure. It thus facilitates the planning, execution and evaluation of a project. |
| Microsoft Excel | A spreadsheet software from Microsoft. It is a computer application which is used for making calculations and related graphics and tables. |
| Microsoft Word | A word processing software from Microsoft. It is a computer application used for the preparation of documents (including composition, writing, editing and formatting). |
| Monitoring | The process of periodically or continuously assessing the implementation progress of the project in connection to the established timetables and the use of services, infrastructure and inputs by the project actors, as well as identifying measures to correct problems where they occur. It includes the collection, analysis, recording, reporting and use of management information about the physical and financial progress of a project. The purpose of monitoring is to understand what is happening as the project progresses in order to keep it on track, that is to say, to achieve efficient and effective performance of an operation. Its focus is on the activity and output levels of the project. |
| MOV | Means and Sources of Verification. They serve as a guidance to help to find the information necessary to complete the indicators. |
| Multiplier effect | Direct or indirect consequences of an action, whereby a change or changes which has (have) been the result of the implementation of that action can act to promote changes elsewhere (outside the context of the action) and in turn act on the original action itself. |
| NGO | Non-Governmental Organisation. |
| Objective tree | A diagrammatic representation of the situation in the future once problems have been remedied, following a problem analysis, and showing a means to ends relationship. |
| OCT | Overseas Countries and Territories: there are 21 OCTs related to the EU and they depend constitutionally on 4 of its Member States: Denmark, France, the Netherlands, and the United Kingdom; OCT nationals are EU citizens. |
| OECD | Organisation for Economic Co-operation and Development. |
| Outcomes | The results the project is expected to achieve at the overall and purpose level objectives. |

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| Outputs | The products and services which are directly produced and delivered by the project. In the context of the Logical Framework, these are the tangible results (directly achievable and observable) of applying inputs to and undertaking activities in the project. |
| Overall objective | The higher-level objective to which the project is expected to contribute. |
| OVI | Objectively Verifiable Indicators of achievement. They define the performance standard and specify the evidence which will tell you if an expected result, objective or activity is reached or implemented. |
| Own contribution | The part of the total eligible costs funded from the Applicant's or partners' own resources, or from sources other than the budget of the EDF or EC general budget. |
| PADOR | Potential Applicants Data On-line Registration. Internet address: *http://ec.europa.eu/europeaid/onlineservices/pador* |
| Partner | The institution – other than the Applicant – that is a member of the partnership. |
| Partnership | The grouping of institutions, that is to say, the Applicant and, if applicable, its partners, constituted for the purpose of submitting an application and, if successful, for implementing the Action. To be eligible, the institutions must belong to one of the following categories:<br>(a) ACP national or regional S&T organisations, research institutions, universities, ministries or public institutions dealing with research policies, ACP national research networks, relevant civil society or private sector actors or similar EU actors partnering with ACP counterparts.<br>(b) Regional S&T institutions, with separate legal status, not belonging to any national system but formally recognised by one of the eligible countries.<br>(c) Established ACP S&T networks provided that: all its members and headquarters are located in eligible countries; they have a legal status; they are applying in its own right; and they have been registered for a minimum of 2 years.<br>(d) Regional or inter-State bodies to which one or more ACP States belong, including bodies with non-ACP State members, which are authorised by those ACP States.<br>Under this Call for Proposals, a partnership involves at least 3 organisations from at least 2 different ACP Member States. NB: Established ACP S&T networks and regional ACP inter-state bodies are considered partnerships in themselves and are not obliged to form alliances with others. Networks, however, have to be multinational. The number of non-ACP partners in a partnership cannot be greater than the number of ACP partners. |

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| PCM | Project Cycle Management. It is a methodology for planning, implementation and evaluation of projects and programmes based on the Logical Framework Approach, focusing especially on the beneficiaries. |
| pdf | Portable Document Format. It is a document-encoding process (software) developed by Adobe that maintains page lay-out, fonts, and graphics and can include many other features such as hyperlinks. |
| *per diem* | An established daily allowance rate in case of missions which require an overnight stay away from the base of operations. *Per diems* cover accommodation, meals, local travel within the place of mission and sundry expenses. The Internet address stipulating the *per diem* rates by country of destination, which are applicable for the ACP Science and technology Programme, is: *http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm* |
| PMU | Programme Management Unit. |
| Practical Guide to Contract procedures for EC external actions | The working tool which explains the contracting procedures applying to all EC external aid contracts financed from the European Communities general budget (Budget) and the European Development Fund (EDF). Since it incorporates the relevant provisions of the legal texts respectively ruling the Budget and the EDF, the purpose of this instrument is to provide all users, in an encompassing manner, with all the information necessary to undertake procurement or a grant procedure from the very first steps to the award of contracts, including the contracting procedures. Internet address: *http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/documents/new_prag_final_en.pdf* |
| pre-selection | The interim results of the application evaluation process conducted by the Evaluation Committee whereby the proposals submitted under this Call for Proposals have positively passed the 'Concept Note' evaluation step. |
| Private sector actors | National and international organizations and entities that are not part of any governmental structure. It includes for-profit (SMEs, industry, etc.) and not-for-profit organizations private sector associations, chambers of commerce, NGOs, etc.), and can have a formal or informal structure. |
| Problem tree | A diagrammatic representation of a negative situation, showing a cause-effect relationship. |
| Profit and loss account | The financial statement that shows the revenue, expenditure and the profit and/or loss of an organisation. |
| Project purpose | The specific objective(s) of the project. |
| Provisional selection | The interim results of the application evaluation process conducted by the Evaluation Committee whereby the proposals submitted under this Call for Proposals have |

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| | positively passed the 'Full Application Form' evaluation step. |
| Region | In the context of the ACP Science and Technology Programme, this is referred to as one of the 6 regions in the ACP area (see Chapter 2 of this Manual). |
| Resources | The means needed to implement projects and procedures, such as people, equipment, services, supplies, facilities, finances and time. |
| S&T | Science and technology. |
| Selection criteria | The evaluation criteria – applied in the 'Full Application Form' evaluation step under this Call for Proposals – that help assess the Applicants' financial and operational capacity to ensure that they have:<br>• 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;<br>• the management capacity, professional competencies and qualifications required to successfully complete the proposed Action. This also applies to any partners of the Applicant. |
| SME | Small and Medium-sized Enterprises. |
| Special Conditions | The special conditions laid down by the Contracting Authority as an integral part of the Call for Proposals dossier, including amendments to the General Conditions and clauses specific to the contract. It forms an integral part of the set of contractual documents. |
| Specific objective | The anticipated effect a project will achieve by delivering the planned results. |
| Stakeholder | Any person, group or organisation that is interested in, affected by or involved in the proposed Action. |
| Standard Contribution Agreement | The grant contract between the Contracting Authority and the Beneficiary in case the Beneficiary is an international organisation, with the exception if it concerns an organisation with which the EC has concluded a specific framework agreement. It is drawn up by EuropeAid Co-operation Office on the basis of the standard grant contract for external aid. |
| Start-to-start | A model used in project management whereby a particular activity must start before another activity can start. This relationship is based on the activity start times. The end times of each activity are not related and, in fact, one activity could end at a much later time than the other. |
| Start-to-finish | A model used in project management which emphasizes to be certain to keep a logical flow to the project(s), ensuring that the successor activity does not begin until after the predecessor activity is completed. This is the most logical path to follow when planning a project. |

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| Statutes | Legal act of establishment or Court registration that regulates the activities of the organisation and the functions of its management bodies in conformity with other details provided in the law. Organisations are formally governed by their statutes. |
| Subcontractors | The organisation (public entity or private company) that will execute some necessary limited parts of the Action which the beneficiaries of the grant cannot execute themselves, e.g., the supply of products, execution of works, or provision of services. They are neither partners nor associates, and are subject to the General Conditions and the Procurement Rules set out in the Annexes II and IV to the standard Grant Contract (see Annex F of the 'Guidelines for Grant Applicants'). |
| Successful Applicant | The Applicant selected at the end of a Call for Proposals procedure for the award of a contract. |
| Sustainability | The ability to continue any given activity into the future within the likely existing resources of an organisation or project, as part of its ongoing budgetary and management processes. |
| Target groups -or- Direct beneficiaries | The groups or entities that will be directly positively affected by the project at the project purpose level. |
| UN | United Nations. |
| Unit | A standard measure of a quantity, e.g., day, month, flight, meeting, item, etc. |
| Unit rate (in EUR) | The figure describing how many euros correspond to one unit of expenses (cost per item). |
| VAT | Value Added Tax. |
| WTO | World Trade Organization. |