

UNION AFRICAINE

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Annex A: Grant Application Form

African Union Research Grants

Open Call for Proposals -2011

Reference: [HRST/ST/AURG/CALL1/2011]

Deadline for submission of proposals: 30/04/2011: 1700 Hours Addis Ababa

Dossier No	
(for official use only)	



10th European Development Fund

The African Component of the ACP Research Programme for Sustainable Development Ref: EuropeAid/130-741/D/ACT/ACP



For economical and ecological reasons, we strongly recommend that you submit your files on paper-based materials (no plastic folder or divider). We also suggest you use double-sided print-outs as much as possible.

Title of the action:		
Lot / Priority sector (check the relevant box(es))	☐ Priority sector 1 - Post-harvest and Agriculture (lot 1) ☐ Priority sector 2 - Renewable and Sustainable Energy (lot 2) ☐ Priority sector 3 - Water and Sanitation (lot 3)	
Location(s) of the action:	<pre><specify action="" area(s)="" benefit="" country(ies),="" from="" or="" region(s),="" that="" the="" town(s)="" will=""></specify></pre>	
Name of the Applicant (institution)		
Nationality of the Applicant ¹		
Name of the Principal Investigator		
Legal status ²		
Partner(s) ³	Name, Nationality, and date of est	tablishment and Leval status
r artifer(s)	Tranc, Transmany, and date of est	Legal status
Total estimated eligible cost of the action (A)	Amount requested from the Contracting Authority (B)	% of total estimated eligible cost of action = (B/A x 100)
EUR	EUR	%
Total duration of the action:	<months></months>	
Contact details for the p	urpose of this action:	
Postal address:		

The statutes must make it possible to ascertain that the organisation was set up by an act governed by the national law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation.

² E.g. non profit making, governmental body, African organization, international organisation

Add as many rows as partners

Telephone number: Country code + city code + number	
Fax number: Country code + city code + number	
Contact person for this action:	
Contact person's email address:	
Website of the Organisation	

Any change in the addresses, phone numbers, fax numbers and in particular e-mail, must be notified in writing to the Contracting Authority. The Contracting Authority will not be held responsible in case it cannot contact an applicant.

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PART A. CONCEPT NOTE

1. INSTRUCTIONS FOR THE DRAFTING OF THE CONCEPT NOTE

There is no specific template for the Concept Note but the applicant has to ensure that the text of its concept note:

- does not exceed 5 full pages (A4 size) of Arial 10 characters with 2 cm margins;
- responds, in the same sequence, to the headings listed below. It is expected that the size of each section will reflect the relative importance of each heading (ref max scores in the evaluation grid and in the Guidelines). The evaluation will be carried out in accordance with the evaluation grid and it will be based solely on the information provided by the applicant in the concept note.
- Is drafted as clearly as possible to facilitate its assessment.

1.1. SUMMARY OF THE ACTION

Please complete the table below which should not exceed 1 page.

Title of the action:	
	Please tick the box corresponding to the specific lot for which you are applying:
Specific objective:	☐ Priority sector 1 - Post-harvest and Agriculture (lot 1)
	☐ Priority sector 2 - Renewable and Sustainable Energy (lot 2)
	□ Priority sector 3 - Water and Sanitation (lot 3)
Location(s) of the action: - specify country(ies), region(s) that will benefit from the action	
Total duration of the action (months):	
Amount (<u>in EUR</u>) of requested EU contribution	
Objectives of the action	<overall objective(s)=""></overall>
	<specific objective(s)=""></specific>
Target group(s) ⁴	
Final beneficiaries ⁵	
Estimated results	

⁴ "Target groups" are the groups/entities who will be directly positively affected by the action at the action purpose level.

⁵ "Final beneficiaries" are those who will benefit from the action in the long term at the level of the society or sector at large.

Main activities	

1.2. RELEVANCE OF THE ACTION (MAX 3 PAGES)

1.2.1. Relevance to the objectives/sectors/themes/specific priorities of the Call for Proposals

Please provide all the following information:

Describe the relevance of the action to the objective(s) and priority (ies) of the call for proposals.

Describe the relevance of the action to any specific subthemes/sectors/areas and any other specific requirements indicated in the guidelines of the call such as partnership, local ownership, etc.

Describe which particular expected results mentioned in the guidelines of the call will be addressed.

NB. in the exceptional cases where the involvement of organisations having the nationality of the targeted country as stipulated in section 1.2.1 of the call guidelines, is not possible due to the particular situation in the said country, the applicant must provide explanations, which will be examined in the context of the evaluation of criterion 1.1 of the Concept Note grid.

1.2.2. Relevance to the particular needs and constraints of the target country/countries, region(s) and/or relevant sectors (including synergy with other EU initiatives and avoidance of duplication)

Please provide all the following information:

Identify clearly the specific pre-project situation in the target country/countries, region(s) and/or sectors (include quantified data analysis where possible).

Provide a detailed analysis of the problems to be addressed by the action and how they are interrelated at all levels.

In addressing the point above, refer to any significant plans undertaken at national, regional and/or local level relevant for the action and describe how the action will relate to such plans.

Where the action is the continuation of a previous action clearly indicate how the proposed action is intended to build on the activities/ results of this previous action; refer to main conclusions and recommendations of evaluations that might have been carried out.

Where the action is part of a larger programme, clearly explain how it fits or is coordinated with this programme or any other planned project. Specify the potential synergies with other initiatives, in particular from the European Commission.

1.2.3. Describe and define the target groups and final beneficiaries, their needs and constraints and how the action will address these needs

Please provide all the following information:

-

⁶ See footnote 1.

Include a description of each of the target groups and final beneficiaries (quantified where possible), including selection criteria.

Identify the needs and constraints of each of the target groups and final beneficiaries.

Demonstrate the relevance of the proposal to the needs and constraints of the target groups and final beneficiaries.

Explain any participatory process ensuring participation of target groups and final beneficiaries.

1.2.4. Particular added-value elements

Indicate any specific added value elements, in particular promotion or consolidation of public/private partnerships, innovation and best practices, or other cross-cutting issues such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples.

1.3. DESCRIPTION OF THE ACTION (MAX 1 PAGE)

Please provide all the following information:

Background to the preparation of the action.

Describe the objectives of the action. (Elaborate here on the objectives mentioned in the table in section 1.1 above.)

Describe the key stakeholder groups, their attitudes towards the action and any consultation undertaken with them.

Provide brief information on the type of activities foreseen and specify related outputs and results, including a description of linkages/relationships between activity clusters.

Indicate the broad timeframe for the action and describe any specific factor that has been taken into account.

2. CHECKLIST FOR CONCEPT NOTE

AFRICAN UNION RESEARCH GRANTS / HRST/ST/AURG/CALL1/2011 / EuropeAid/130-741/D/ACT/ACP / 10^{TH} EDF

ADMINISTRATIVE DATA	To be filled in by the applicant
Name of the Applicant	
EuropeAid ID number	(optional)
Country and date of registration	
Legal Entity File number ⁷	
Legal status ⁸	
Partner 1	Name/EuropeAid ID number:

-

⁷ If the applicant has already signed a contract with the European Commission

E.g. non profit making, governmental body, international organisation...

Nationality/Country of registration:
Legal status:
Name/EuropeAid ID number:
Nationality/Country of registration:
Legal status:

BEFORE SENDING YOUR CONCEPT NOTE, PLEASE CHECK THAT EACH OF THE FOLLOWING POINTS IS COMPLETE AND RESPECTS THE FOLLOWING CRITERIA :		lled in by plicant
Title of the Proposal:	Yes	No
PART 1 (ADMINISTRATIVE)		
1. The instructions for concept note, published for this call for proposals, have been followed		
2. The Declaration by the applicant has been filled in and has been signed		
3. The proposal is typed and is in English or French. Where more than one language is allowed, the proposal is drafted in the language most commonly used by the target population in the country in which the action takes place.		
4. One original and 2 copies are included		
5. An electronic version of the concept note (CD-Rom) is enclosed		
PART 2 (ELIGIBILITY)		
6. The action will be implemented in an eligible country(ies)		
7. The duration of the action is between 12 months and 36 months (the minimum and maximum allowed)		
8. The requested contribution is between 500.000 EURO and 750.000 EURO (the minimum and maximum allowed)		
9. The requested contribution is between 50 % and 80 % of the total eligible costs (minimum and maximum percentage required)		
10. The present Checklist and the Declaration by the applicant are filled in and sent with the Concept Note		

3. DECLARATION BY THE APPLICANT FOR CONCEPT NOTE

The applicant, represented by the undersigned, being the authorised signatory of the applicant, and in the context of the present application, representing any partners in the proposed action, hereby declares that

the applicant has the sources of financing and professional competence and qualifications specified in section 2 of the Guidelines for Applicants;

the applicant undertakes to comply with the obligations foreseen in the partnership statement of the grant application form and with the principles of good partnership practice;

the applicant is directly responsible for the preparation, management and implementation of the action with its partners, if any, and is not acting as an intermediary;

the applicant and its partners are not in any of the situations excluding them from participating in contracts which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address: http://ec.europa.eu/europeaid/work/procedures/implementation/index en.htm.

Furthermore, it is recognised and accepted that if we participate in spite of being in any of these situations, we may be excluded from other procedures in accordance with section 2.3.5 of the Practical Guide;

the applicant and each partner (if any) are in a position to deliver immediately, upon request, the supporting documents stipulated under section 2.4 of the Guidelines for Applicants.;

the applicant and each partner (if any) are eligible in accordance with the criteria set out under sections 2.1.1 and 2.1.2 of the Guidelines for Applicants;

if recommended to be awarded a grant, the applicant accepts the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants (annex F);

the applicant and its partners are aware that, for the purposes of safeguarding the financial interests of the European Union, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

Signed on behalf of the applicant

Name	
Signature	
Position	
Date	

4. ASSESSMENT GRID FOR CONCEPT NOTE

(FOR THE USE OF THE CONTRACTING AUTHORITY ONLY)

	YES	NO
1. The submission deadline has been respected		
2. The Checklist has been duly completed		
The administrative verification has been conducted by:		
Date:		
<u>DECISION 1</u> : The Committee has decided to evaluate the Concept Note after having passed the Administrative check.		
The evaluation of the Concept Note has been conducted by:		
Date:		
<u>DECISION 2:</u> The Committee has decided to recommend evaluating the full application form.		

PART B. FULL APPLICATION FORM

To be submitted by all applicants

For economical and ecological reasons, we strongly recommend that you submit your files on paper-based materials (no plastic folder or divider). We also suggest you use double-sided print-outs as much as possible

1. GENERAL INFORMATION

Reference of the Call for Proposals	HRST/ST/AURG/CALL1/2011 / EuropeAid/130-741/D/ACT/ACP
Title of the Call for Proposals	African Union Research Grants
Name of the applicant	
Title of the action	
Location of the action	
-specify country(ies) region(s)	
that will benefit from the action	
No. of the Lot	

2. THE ACTION⁹

2.1. COST OF THE ACTION AND AMOUNT REQUESTED FROM THE CONTRACTING AUTHORITY

Total estimated eligible cost of the action (A)	Amount requested from the Contracting Authority (B)	% of total estimated eligible cost of action (B/Ax100)
EUR	EUR	%

Please note that the cost of the action and the contribution requested from the Contracting Authority have to be expressed in EURO.

2.2. DESCRIPTION OF THE ACTION AND ITS EFFECTIVENESS (MAX 14 PAGES)

Provide a description of the proposed action, including all the information requested below:

- Making reference to the overall objective(s) and specific objective(s), outputs and results described in the concept note elaborate on specific expected results indicating how the action will improve the situation of the target groups and final beneficiaries as well as the technical and management capacities of target groups and/or any local partners. Indicate in particular foreseen publications.
- Making reference to the overall objective(s) and specific objective(s), outputs and results described in the concept note identify and describe in detail each activity (or work package) to be undertaken to produce results, justifying the choice of the activities and specifying the role of each partner (and associates or contractors or sub-grantees where applicable) in the activities. In this respect, the detailed description of activities must not repeat the action plan (to be provided in section 2.1.3 below) but demonstrate coherence and consistency in the project design

2.3. METHODOLOGY (MAX 4 PAGES)

Describe in detail:

the methods of implementation and reasons for the proposed methodology;

where the action is the prolongation of a previous action, explain how the action is intended to build on the results of this previous action. Give the main conclusions and recommendations of evaluations that might have been carried out;

where the action is part of a larger programme, explain how it fits or is coordinated with this programme or any other possibly planned project. Please specify the potential synergies with other initiatives, in particular from the European Union;

the procedures for follow up and internal/external evaluation;

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⁹ The evaluation committee will refer to information already provided in the Concept Note as regards objectives and relevance of the action.

the role and participation in the action of the various actors and stakeholders (local partner(s), target groups, local authorities, etc.), and the reasons for which these roles have been assigned to them;

the organisational structure and the team proposed for the implementation of the action (by function: there is no need to include the names of individuals);

the main means proposed for the implementation of the action (equipment, materials, and supplies to be acquired or rented);

the attitudes of all stakeholders towards the action in general and the activities in particular; the planned activities in order to ensure the visibility of the action and the EU funding.

2.4. DURATION AND INDICATIVE ACTION PLAN FOR IMPLEMENTING THE ACTION

The duration of the action will be <X> months.

Applicants should not indicate a specific start up date for the implementation of the action but simply show "month 1", "month 2", etc.

Applicants are recommended to base the estimated duration for each activity and total period on the **most probable duration** and not on the shortest possible duration by taking into consideration all relevant factors that may affect the implementation timetable.

The activities stated in the action plan should correspond to the activities described in detail in section 2.2 The implementing body shall be either the applicant or any of the partners, associates or subcontractors. Any months or interim periods without activities must be included in the action plan and count toward the calculation of the total estimated duration of the action.

The action plan for the first 12 months of implementation should be sufficiently detailed to give an overview of the preparation and implementation of each activity. The action plan for each of the subsequent years may be more general and should only list the main activities foreseen for those years. To this end, it shall be divided into six-month interim periods (NB: A more detailed action plan for each subsequent year will have to be submitted before receipt of new pre-financing payments, pursuant to Article 2.1 of the General Conditions of the grant contract).

The action plan will be drawn up using the following format:

Year 1													
		Ser	neste	r 1					Seme	ster 2	2		
Activity	Month 1	2	3	4	5	6	7	8	9	10	11	12	Implementing body
Example	example												Example
Preparation													Local partner 1
Activity 1													_
(title)													
Execution													Local partner 1
Activity 1													
(title)													
Preparation													Local partner 2
Activity 2													_
(title)													
Etc.													

For the following years:									
Activity	Semester 3	4	5	6	7	8	9	10	Implementing body
Example	example								example

Execution Activity 1					Local partner 1
(title)					
Execution Activity 2 (title)					Local partner 2
Preparation Activity 3 (title)					Local partner 1
Etc.					

2.5. SUSTAINABILITY OF THE ACTION (MAX 3 PAGES)

Provide all information requested below:

- Describe the expected impact of the action with quantified data where possible, at technical, economic, social, and policy levels (will it lead to improved legislation, codes of conduct, methods, etc.?).
- Describe a dissemination plan and the possibilities for replication and extension of the action outcomes (multiplier effects), clearly indicating any foreseen dissemination channel.
- Provide a detailed risk analysis and contingency plan. This should include a list of risks associated for each proposed action, accompanied by relevant mitigation measures. A good risk analysis will include a range of risk types including physical, environmental, political, economic and social risks.
- Describe the main preconditions and assumptions during and after the implementation phase.
- Explain how sustainability will be secured after completion of the action. This may include aspects of necessary follow-up activities, built-in strategies, ownership, communication plan, etc. In so doing so, make a distinction between the following 3 dimensions of sustainability:
 - a. Financial sustainability: financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs, etc;
 - b. Institutional sustainability: including structures that would allow the results of the action to continue to be in place after the end of the action, capacity building, agreements and local "ownership" of action outcomes;
 - c. Policy level sustainability: where applicable) including the structural impact of (improved legislation, consistency with existing framework/s, codes of conduct, methods, etc.).
 - d. Environmental sustainability (what impact will the action have on the environment have conditions put in place to avoid negative effects on natural resources on which the action depends and on the broader natural environment)

2.6. LOGICAL FRAMEWORK

Please fill in Annex C¹⁰ to the Guidelines for applicants.

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Explanations can be found at the following address: http://ec.europa.eu/europeaid/reports//index_en.pdf

2.7. BUDGET FOR THE ACTION

Fill in Annex B (worksheet 1 and 2) to the Guidelines for applicants for the total duration of the action and for its first 12 months. For further information see the Guidelines for grant applicants (Sections 1.3, 2.1.4 and 2.2.5).

2.8. EXPECTED SOURCES OF FUNDING

Fill in Annex B (worksheet 3) to the Guidelines for applicants to provide information on the expected sources of funding for the action.

Please mention here below the contributions in kind to be provided (please specify), if any (maximum 1 page).

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2.9. APPLICANT'S EXPERIENCE OF SIMILAR ACTIONS

Maximum 1 page per action. Please provide a detailed description of actions managed by your organisation over the past three years
This information will be used to assess whether you have sufficient and stable experience of managing actions in the same sector and of a comparable scale to the one for which a grant is being requested.

Project title:		Sector (see section 3.2	2.1 of section II):		
Location of the action	Cost of the action (EUR)	lead manager or partner	Donors to the action (name) ¹¹	Amount contributed (by donor)	Dates (from dd/mm/yyyy to dd/mm/yyyy)
	•••				
Objectives and action	d results of the				

¹¹ If the Donor is the European Union or an EU Member State, please specify the EU budget line, EDF or EU Member State. **November 2010**

3. THE APPLICANT

EuropeAid ID number 12	
Name of the organisation	

3.1. IDENTITY

Information requested under this point need only be given in cases where there have been modifications or additions as compared to the information given in the Concept note form.

The applicant's contact details for the purpose of this action:	
Legal Entity File number ¹³	
Abbreviation	
Registration Number (or equivalent)	
Date of Registration	
Place of Registration	
Official address of Registration	
Country of Registration ¹⁴	
E-mail address of the Organisation	
Telephone number: Country code + city code + number	
Fax number: Country code + city code + number	
Website of the Organisation	

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This number is available to an organisation which registers its data in PADOR. For more information and to register, please visit http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

¹³ If the applicant has already signed a contract with the European Commission

For organisations. If not in one of the countries listed in section 2.1.1 of the Guidelines, please justify its location

Any change in the addresses, phone numbers, fax numbers and in particular e-mail, must be notified in writing to the Contracting Authority. The Contracting Authority will not be held responsible in case it cannot contact an applicant.

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3.2. PROFILE

Legal status	
Profit-Making	□ Yes
	□ No
NGO	□ Yes
1100	□ No
Value based ¹⁵	□ Political
value based	□ Religious
	□ Humanistic
	□ Neutral
Is your organisation linked with	☐ Yes, parent entity:
another entity?	(please specify its EuropeAid ID:)
another entity.	☐ Yes, controlled entity(ies)
	☐ Yes, family organization / network entity ¹⁶
	□ No, independent

3.2.1. Category

	T	
Category ¹⁷	Public	Private
Category		
	□ Public Administration	Implementation Agency
	□ Decentralised representatives of	University/Education
	Sovereign States	Research Institute
	☐ International Organisation	Think Tank
	□ Judicial Institution	Foundation
	□ Local Authority	Association
	□ Implementation Agency	Media
	□ University/Education	Network/Federation
	□ Research Institute	Professional and/or Industrial
	□ Think Tank	Organisation
	□ Foundation	Trade Union
	□ Association	Cultural Organisation
	□ Media	Commercial Organisation
	□ Network/Federation	Other Non State Actor
	☐ Professional and/or Industrial	
	Organisation	
	□ Trade Union	
	□ Cultural Organisation	
	□ Commercial Organisation	

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Please choose only one set of values.

E.g. confederation / federation /alliance

Please specify 1) the Sector to which your organisation belongs, as defined in its statutes (or equivalent document): Public (established and/or funded by a public body) OR Private (established and/or funded by a private entity); 2) in the appropriate column, the Category to which your organisation belongs (ONE CHOICE ONLY).

11			Education
	111		Education, level unspecified
		11110	Education Policy & Admin. Management
		11120	Education Facilities And Training
		11130	Teacher Training
		11182	Educational Research
	112		Basic education
		11220	Primary Education
		11230	Basic life skills for youth and adults
		11240	Early childhood education
	113		Secondary education
		11320	Secondary education
		11330	Vocational Training
	114		Post-secondary education
		11420	Higher Education
		11430	Advanced Tech. & Managerial Training
12			Health
	121		Health, general
		12110	Health Policy & Admin. Management
		12181	Medical education/training
		12182	Medical Research
		12191	Medical Services
	122	121/1	Basic health
	122	12220	Basic Health Care
		12230	Basic Health Infrastructure
		12240	Basic Nutrition
		12250	Infectious Disease Control
		12261	Health Education
		12281	Health Personnel Development
13		12201	Population programmes
15	130		Population polices/programs and reproductive health
	150	13010	Population Policy And Admin. Mgmt
		13020	Reproductive Health Care
		13030	Family planning
		13040	Std Control Including HIV/Aids
		13081	Personnel development for population & reproductive health
14		15001	Water Supply and Sanitation
	140		Water supply and sanitation
	110	14010	Water Resources Policy/Admin. Mgmt
		14015	Water Resources Protection
		14020	Water supply & sanitation - Large systems
		14030	Basic drinking water supply & basic sanitation
		14040	River Development
		14050	Waste Management/Disposal
		14081	Education & training in water supply and sanitation
15		14001	Government and Civil Society
13	151		Government and civil society, general
	101	15110	Economic and development policy/planning
		15120	Public sector financial management
		13120	1 done sector imanetar management

Please tick the box for each sector your organisation has been active in the past 7 years. The sectors come from the DAC list set up by the OECD.

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			15120	Total and indicial devaluation
			15130	Legal and judicial development
			15140	Government administration
			15150	Strengthening civil society
			15161	Elections
			15162	Human Rights
			15163	Free Flow Of Information
		1.50	15164	Women's equality organisations and institutions
		152		Conflict prevention an resolution, peace and security
			15210	Security system management and reform
			15220	Civilian peace-building, conflict prevention and resolution
			15230	Post-conflict peace-building (UN)
			15240	Reintegration and SALW control
			15250	Land mine clearance
			15261	Child soldiers (prevention and demobilisation)
	16			Other Social Infrastructure and Service
			16010	Social/welfare services
			16020	Employment policy and admin. mgmt.
			16030	Housing policy and admin. management
			16040	Low-cost housing
			16050	Multisector aid for basic social services
			16061	Culture and recreation
			16062	Statistical capacity building
			16063	Narcotics control
			16064	Social mitigation of HIV/AIDS
	21			Transport and Storage
		210		Transport and storage
			21010	Transport Policy & Admin. Management
			21020	Road Transport
			21030	Rail Transport
			21040	Water Transport
			21050	Air Transport
			21061	Storage
			21081	Education & Training In Transport & Storage
	22			Communications
		220		Communications
			22010	Communications Policy & Admin. Mgmt
			22020	Telecommunications
			22030	Radio/Television/Print Media
			22040	Information and communication technology (ICT)
	23		22040	Energy
-	23	230		Energy generation and supply
		250	23010	Energy Policy And Admin. Management
			23020	Power Generation/Non-Renewable Sources
			23020	Power Generation/Renewable Sources
			23040	Electrical Transmission/Distribution
			23040	Gas distribution
			23050	Oil-Fired Power Plants
			23061	Gas-Fired Power Plants
			23063	Coal-Fired Power Plants
			23064	Nuclear Power Plants
			23065	Hydro-electric Power Plants
			23066	Geothermal energy
			23067	Solar energy
			23068	Wind power

 1			
		23069	Ocean power
		23070	Biomass
		23081	Energy education/training
		23082	Energy research
24			Banking and Financial Services
	240		Banking and financial services
		24010	Financial Policy & Admin. Management
		24020	Monetary institutions
		24030	Formal Sector Financial Institutions
		24040	Informal/Semi-Formal Financial intermediaries
		24081	Education/trng in banking & fin. services
25			Business and Other Services
	250		Business and other services
		25010	Business support services and institutions
		25020	Privatisation
31			Agriculture, Forestry and Fishing
	311		Agriculture
		31110	Agricultural Policy And Admin. Mgmt
		31120	Agricultural development
		31130	Agricultural Land Resources
		31140	Agricultural Water Resources
		31150	Agricultural inputs
		31161	Food Crop Production
		31162	Industrial Crops/Export Crops
		31163	Livestock
		31164	Agrarian reform
		31165	Agricultural alternative development
		31166	Agricultural extension
		31181	Agricultural Education/Training
		31182	Agricultural Research
		31191	Agricultural services
		31192	Plant and post-harvest protection and pest control
		31193	Agricultural financial services
		31194	Agricultural co-operatives
		31195	Livestock/Veterinary Services
	312	31170	Forestry
	212	31210	Forestry Policy & Admin. Management
		31220	Forestry development
		31261	Fuel wood/charcoal
		31281	Forestry education/training
		31281	Forestry research
		31291	Forestry services
	313	51491	Fishing
	213	31310	Fishing Policy And Admin. Management
		31310	Fishery development
		31320	Fishery education/training
		31381	Fishery research
		31382	Fishery services
32		31391	Industry, Mining and Construction
34	321		
	341	22110	Industry Industrial Policy And Admin, Mamt
		32110	Industrial Policy And Admin. Mgmt
		32120	Industrial development
		32130	Small and medium-sized enterprises (SME) development
		32140	Cottage industries and handicraft

1			20171	A and Industries
			32161	Agro-Industries
			32162 32163	Forest industries Textiles - leather & substitutes
				Chemicals
			32164 32165	
			32166	Fertilizer plants
				Cement/lime/plaster
			32167	Energy manufacturing
			32168	Pharmaceutical production
			32169	Basic metal industries
			32170	Non-ferrous metal industries
			32171	Engineering
			32172	Transport equipment industry
			32182	Technological research and development
		322		Mineral resources and mining
			32210	Mineral/Mining Policy & Admin. Mgmt
			32220	Mineral Prospection And Exploration
			32261	Coal
			32262	Oil and gas
			32263	Ferrous metals
			32264	Non-ferrous metals
			32265	Precious metals/materials
			32266	Industrial minerals
			32267	Fertilizer minerals
			32268	Offshore minerals
		323		Construction
			32310	Construction Policy And Admin. Mgmt
	33			Trade and Tourism
		331		Trade policy and regulation
			33110	Trade Policy And Admin. Management
			33120	Trade facilitation
			33130	Regional trade agreements (RTAs)
			33140	Multilateral trade negotiation
			33181	Trade education & training
		332		Tourism
			33210	Tourism Policy And Admin. Management
	41			General Environment Protection
		410		General environmental protection
			41010	Environmental Policy And Admin. Mgmt
			41020	Biosphere protection
			41030	Bio-diversity
			41040	Site Preservation
			41050	Flood Prevention/Control
			41081	Environmental education/training
			41081	Environmental research
	43		71002	Other multisector
	43	430		Other multisector Other multisector
		430	43010	Multisector Aid
			43010	
				Urban Development And Management Rural Development
			43040	
			43050	Non-agricultural alternative development
			43081	Multisector education/training
	<i>-</i> 1		43082	Research/scientific institutions
	51			General budget support
		510		General budget support

		51010	General budget support		
52			Development food aid/food security		
	520		Development food aid/food security assistance		
		52010	Food Aid / Food Security Programmes		
53			Other commodity assistance		
	530		Other commodity assistance		
		53030	Import support (capital goods)		
		53040	Import support (commodities)		
60			Action relating to debt		
	600		Action relating to debt		
		60010	Action relating to debt		
		60020	Debt forgiveness		
		60030	Relief of multilateral debt		
		60040	Rescheduling and refinancing		
		60061	Debt for development swap		
		60062	Other debt swap		
		60063	Debt buy-back		
72			Emergency and distress relief		
	720		Emergency and distress relief		
		72010	Material relief assistance and services		
		72040	Emergency food aid		
		72050	Relief coordination; protection and support services		
73			Reconstruction relief and rehabilitation		
	730		Reconstruction relief and rehabilitation		
		73010	Reconstruction relief and rehabilitation		
74			Disaster prevention and preparedness		
	740		Disaster prevention and preparedness		
		74010	Disaster prevention and preparedness		
91			Administrative costs of donors		
	910		Administrative costs of donors		
		91010	Administrative Costs		
92			Support to NGO		
	920		Support to NGO		
		92010	Support to national NGOs		
		92020	Support to international NGOs		
		92030	Support to local and regional NGOs		
93			Refugees		
	930		Refugees (in donor countries)		
		93010	Refugees (in donor countries)		
99			Unallocated/unspecified		
	998		Unallocated/unspecified		
		99810	Sectors Not Specified		
		99820	Promotion of Development Awareness		

□ All
□ Child soldiers
□ Children (less than 18 years old)
□ Community Based Organisation(s)
□ Consumers
□ Disabled
□ Drug consumers
□ Educational organisations (school, universities)
□ Elderly people
☐ Illness affected people (Malaria, Tuberculosis, HIV/AIDS)
□ Indigenous peoples
□ Local authorities
□ Migrants
□ Non Governmental Organisations
□ Prisoners
□ Professional category
□ Refugees and displaced
□ Research organisations/Researchers
□ SME/SMI
□ Students
□ Urban slum dwellers
□ Victims of conflicts/catastrophies
□ Women
□ Young people
□ Other (nlease specify):

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3.3. CAPACITY TO MANAGE AND IMPLEMENT ACTIONS

3.3.1 Experience by Sector (for each sector selected in 3.2.1.)

Sector	Year(s) of Experience	Experience in the past 7 years	Number of Projects in the past 7 years	Estimated Amount (in thousand Euros) in the past 7 years
	☐ Less than 1☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	☐ Less than 1 year☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	□ 1 to 5 □ 6 to 10 □ 11 to 20 □ 21 to 50 □ 51 to 200 □ 200 to 500 □ 500+	□ Less than 1 □ 1 to 5 □ 5 to 20 □ 20 to 50 □ 50 to 100 □ 100 to 300 □ 300 to 1.000 □ 1000+ □ Unknown
	☐ Less than 1☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	□ Less than 1 year □ 1 to 3 years □ 4 to 7 years □ 7 years +	□ 1 to 5 □ 6 to 10 □ 11 to 20 □ 21 to 50 □ 51 to 200 □ 200 to 500 □ 500+	□ Less than 1 □ 1 to 5 □ 5 to 20 □ 20 to 50 □ 50 to 100 □ 100 to 300 □ 300 to 1.000 □ 1000+ □ Unknown
	☐ Less than 1☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	□ Less than 1 year □ 1 to 3 years □ 4 to 7 years □ 7 years +	□ 1 to 5 □ 6 to 10 □ 11 to 20 □ 21 to 50 □ 51 to 200 □ 200 to 500 □ 500+	□ Less than 1 □ 1 to 5 □ 5 to 20 □ 20 to 50 □ 50 to 100 □ 100 to 300 □ 300 to 1.000 □ 1000+ □ Unknown

By Geographical area (country or region)	Year(s) of Experience	Number of Projects in this geographical area in the past 7 years	Estimated Amount (in thousand Euros) invested in this geographical area in the past 7 years
	☐ Less than 1 year☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	□ 1 to 5 □ 6 to 10 □ 11 to 20 □ 21 to 50 □ 51 to 200 □ 200 to 500 □ 500+	□ Less than 1 □ 1 to 5 □ 5 to 20 □ 20 to 50 □ 50 to 100 □ 100 to 300 □ 300 to 1.000 □ 1000+ □ Unknown
	☐ Less than 1 year☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	□ 1 to 5 □ 6 to 10 □ 11 to 20 □ 21 to 50 □ 51 to 200 □ 200 to 500 □ 500+	□ Less than 1 □ 1 to 5 □ 5 to 20 □ 20 to 50 □ 50 to 100 □ 100 to 300 □ 300 to 1.000 □ 1000+ □ Unknown
	☐ Less than 1 year☐ 1 to 3 years☐ 4 to 7 years☐ 7 years +	□ 1 to 5 □ 6 to 10 □ 11 to 20 □ 21 to 50 □ 51 to 200 □ 200 to 500 □ 500+	□ Less than 1 □ 1 to 5 □ 5 to 20 □ 20 to 50 □ 50 to 100 □ 100 to 300 □ 300 to 1.000 □ 1000+ □ Unknown

Indicative list of regions

- Europe EU
- Europe non-EU
- Eastern Europe
- Central America
- South America
- South-East Asia
- North-East Asia
- South Asia
- Central Asia
- Mediterranean
- Gulf Countries
- Eastern Africa
- Central Africa
- Western Africa
- Southern Africa
- Indian Ocean
- CaribbeanPacific

Cross-reference of experience by Sector and by Geographical area:

Sector(s)	Geographical area(s) (country or region, as identified
(as selected in 3.2.1)	previously)

a) Financial data. Please provide the following information, if applicable, on the basis of the profit and loss account and balance sheet of your organisation, amounts in thousand Euros

Year	Turnover or equivalent	Net earnings or equivalent	Total balance sheet or budget	Shareholders' equity or equivalent	Medium and long-term debt	Short-term debt (< 1 year)
N ¹⁹						
N-1						
N-2						

b). Financing Source(s) (please tick the source(s) of the revenues of your organisation and specify the additional information requested)

Year	Source	Percentage (total for a given year must be equal to 100%)	Number of fee- paying members (only for source = Member's fees)
N	□EU		N/A
N	☐ Member States Public Bodies		N/A
N	☐ Third Countries Public Bodies		N/A
N	□ United Nations		N/A
N	☐ Other International Organisation(s)		N/A
N	□ Private Sector		N/A
N	□ Member's fees		
N	□ Other (please specify):		N/A
N	Total	100%	N/A

N = previous financial year
 November 2010
 African Union call Application form.doc

Year	Source	Percentage (total for a given year must be equal to 100%)	Number of fee-paying members (only for source = Member's fees)
N – 1	□EU		N/A
N-1	☐ Member States Public Bodies		N/A
N-1	☐ Third Countries Public Bodies		N/A
N-1	□ United Nations		N/A
N-1	☐ Other International Organisation(s)		N/A
N-1	□ Private Sector		N/A
N-1	□ Member's fees		
N-1	☐ Other (please specify):		N/A
N-1	Total	100%	N/A
N-2	□ EU		N/A
N-2	☐ Member States Public Bodies		N/A
N-2	☐ Third Countries Public Bodies		N/A
N-2	☐ United Nations		N/A
N-2	☐ Other International Organisation(s)		N/A
N-2	□ Private Sector		N/A
N-2	□ Member's fees		
N-2	☐ Other (please specify):		N/A
N-2	Total	100%	N/A

Please provide the references of the external audit report established by an approved auditor for the last financial year available. This obligation does not apply to international organisations nor to public bodies.

Year	Name of approved auditor	Period of validity
N		From dd/mm/yyyy to dd/mm/yyyy
N – 1		From dd/mm/yyyy to dd/mm/yyyy
N – 2		From dd/mm/yyyy to dd/mm/yyyy

c) Number of staff (full-time equivalent) (please tick one option for each type of staff):

Type of staff	Paid	Unpaid
HQ Staff: recruited and based in	□ < 10	□ < 10
Headquarters (located in Developed Country)	$\Box > 10 \text{ and} < 50$	$\Box > 10 \text{ and} < 50$
Country)	$\Box > 50 \text{ and} < 100$	$\Box > 50 \text{ and} < 100$
	□ > 100	□ > 100
	□ N/A	□ N/A
Expat Staff: recruited in Headquarters	□ < 10	□ < 10
(located in Developed Country) and based in Developing Country	$\Box > 10 \text{ and} < 50$	$\Box > 10 \text{ and} < 50$
bused in Beveloping Country	$\Box > 50 \text{ and} < 100$	$\Box > 50 \text{ and} < 100$
	□ > 100	□ > 100
	□ N/A	□ N/A
Local staff: recruited and based in	□ < 10	□ < 10
Developing Country	$\Box > 10 \text{ and} < 50$	$\Box > 10 \text{ and} < 50$
	$\Box > 50 \text{ and} < 100$	$\Box > 50 \text{ and} < 100$
	□ > 100	□ > 100
	□ N/A	□ N/A

3.4. LIST OF THE MANAGEMENT BOARD/COMMITTEE OF YOUR ORGANISATION

Name	Profession	Function	Country of Nationality	On the board since
Mr				
Ms				

4. PARTNERS OF THE APPLICANT PARTICIPATING IN THE ACTION

4.1. DESCRIPTION OF THE PARTNERS

This section must be completed **for each partner organisation** within the meaning of section 2.1.2 of the Guidelines for Applicants. Any associates as defined in the same section need not be mentioned. You must make as many copies of this table as necessary to create entries for more partners.

	Partner 1
EuropeAid ID number ²⁰	
Full legal name	
Date of Registration	
Place of Registration	
Legal status ²¹	
Official address of Registration ²²	
Country of Registration ²³	
Contact person	
Telephone number : country code + city code + number	
Fax number: country code + city code + number	
E-mail address	
Number of employees	
Other relevant resources	
Experience of similar actions, in relation to the role in the implementation	

This number is available to an organisation which registers its data in PADOR. For more information and to register, please visit http://ec.europa.eu/work/europeaid/onlineservices/pador/index_en.htm

E.g. non profit making, governmental body, international organisation

If not in one of the countries listed in section 2.1.1 of the Guidelines, please justify its location

²³ For organisations

of the proposed action	
History of cooperation with the applicant	
Role and involvement in preparing the proposed action	
Role and involvement in implementing the proposed action	

Important: This application form must be accompanied by a signed and dated partnership statement from each partner, in accordance with the model provided.

4.2. PARTNERSHIP STATEMENT

A partnership is a relationship of substance between two or more organisations involving shared responsibilities in undertaking the action funded by the African Union Commission (Contracting Authority). To ensure that the action runs smoothly, the Contracting Authority requires all partners to acknowledge this by agreeing to the principles of good partnership practice set out below.

- 1. All partners must have read the application form and understood what their role in the action will be before the application is submitted to the Contracting Authority.
- 2. All partners must have read the standard grant contract and understood what their respective obligations under the contract will be if the grant is awarded. They authorise the lead applicant to sign the contract with the Contracting Authority and represent them in all dealings with the Contracting Authority in the context of the action's implementation.
- The applicant must consult with its partners regularly and keep them fully informed of the 3. progress of the action.
- 4. All partners must receive copies of the reports - narrative and financial - made to the Contracting Authority.
- 5. Proposals for substantial changes to the action (e.g. activities, partners, etc.) should be agreed by the partners before being submitted to the Contracting Authority. Where no such agreement can be reached, the applicant must indicate this when submitting changes for approval to the Contracting Authority.
- Where the Beneficiary does not have its headquarters in the country where the action is 6. implemented, the partners must agree before the end of the action, on an equitable distribution of equipment, vehicles and supplies for the action purchased with the EU grant among local partners or the final beneficiaries of the action.

I have read and approved the contents of the proposal submitted to the Contracting Authority. I undertake to comply with the principles of good partnership practice.

Name:	

Organisation:	
Position:	
Signature:	
Date and place:	

5. ASSOCIATES OF THE APPLICANT PARTICIPATING IN THE ACTION

This section must be completed for each associated organisation within the meaning of section 2.1.2 of the Guidelines for Applicants. You must make as many copies of this table as necessary to create entries for more associates.

	Associate 1
Full legal name	
EuropeAid ID number ²⁴	
Country of Registration	
Legal status ²⁵	
Official address	
Contact person	
Telephone number: country code + city code + number	
Fax number: country code + city code + number	
E-mail address	
Number of employees	
Other relevant resources	
Experience of similar actions, in relation to role in the implementation of the proposed action	
History of cooperation with the applicant	
Role and involvement in preparing the proposed action	
Role and involvement in implementing the proposed action	

²⁵ E.g. non profit making, governmental body, international organisation

This number is available to an organisation which registers its data in PADOR. For more information and to register, please visit http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

6. CHECKLIST FOR THE FULL APPLICATION FORM

AFRICAN UNION RESEARCH GRANTS / HRST/ST/AURG/CALL1/2011 / EuropeAid/130-741/D/ACT/ACP

ADMINISTRATIVE DATA	To be filled in by the applicant
Name of the Applicant	
EuropeAid ID number	
Country ²⁶ and date of registration	
Legal Entity File number ²⁷	
Legal status ²⁸	
Partner 1	Name/EuropeAid ID number:
	Nationality/Country of registration:
	Legal status:
Partner 2	Name/EuropeAid ID number:
	Nationality/Country of registration:
NB: Add as many rows as partners	Legal status:

For organisations

If the applicant has already signed a contract with the European Commission
E.g. non profit making, governmental body, international organisation...

BEFORE SENDING YOUR PROPOSAL, PLEASE CHECK THAT EACH OF THE FOLLOWING POINTS IS COMPLETE AND RESPECTS THE FOLLOWING CRITERIA:		To be filled in by the applicant	
Title of the Proposal: < indicate the title >	Yes	No	
PART 1 (ADMINISTRATIVE)			
1. The correct grant application form, published for this call for proposals, has been used			
2. The Declaration by the applicant has been filled in and has been signed			
3. The proposal is typed and is in English or French Where more than one language is allowed, the proposal is drafted in the language most commonly used by the target population in the country in which the action takes place.			
4. One original and 2 copies are included			
5. An electronic version of the proposal (CD-Rom) is enclosed			
6. Each partner has completed and signed a partnership statement and the statements are included.			
7. The budget is presented in the format requested, is expressed in € and is enclosed			
8. The logical framework has been completed and is enclosed			
PART 2 (ELIGIBILITY)			
9. The duration of the action is between 12 months and 36 months (the minimum and maximum allowed)			
10. The requested contribution is between 500.000 EURO and 750.000 EURO (the minimum and maximum allowed)			
11. The requested contribution is between 50 % and 80 % of the total eligible costs (minimum and maximum percentage allowed)			

7. **DECLARATION BY THE APPLICANT**

The applicant, represented by the undersigned, being the authorised signatory of the applicant, in the context of the present call for proposals, representing any partners in the proposed action, hereby declares that

the applicant has the sources of financing and professional competence and qualifications specified in section 2 of the Guidelines for Applicants;

the applicant undertakes to comply with the obligations foreseen in the partnership statement of the grant application form and with the principles of good partnership practice;

the applicant is directly responsible for the preparation, management and implementation of the action with its partners, if any, and is not acting as an intermediary;

the applicant and its partners are not in any of the situations excluding them from participating in contracts which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address: http://ec.europa.eu/europeaid/work/procedures/implementation/index en.htm.

Furthermore, it is recognised and accepted that if we participate in spite of being in any of these situations, we may be excluded from other procedures in accordance with section 2.3.5 of the Practical Guide;

the applicant and each partner (if any) is in a position to deliver immediately, upon request, the supporting documents stipulated under section 2.4 of the Guidelines for Applicants.;

the applicant and each partner (if any) are eligible in accordance with the criteria set out under sections 2.1.1 and 2.1.2 of the Guidelines for Applicants;

if recommended to be awarded a grant, the applicant accepts the contractual conditions as laid down in the Standard Contract annexed to the Guidelines for Applicants (annex F);

the applicant and its partners are aware that, for the purposes of safeguarding the financial interests of the Communities, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti-Fraud Office.

The following grant applications have been submitted (or are about to be submitted) to the European Institutions, the European Development Fund and the EU Member States in the last 12 months:

• < list only actions in the same field as this proposal>

The applicant is fully aware of the obligation to inform without delay the Contracting Authority to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

Signed on behalf of the applicant

Name	
Signature	
Position	
Date	

8. ASSESSMENT GRID OF THE FULL APPLICATION FORM (TO BE USED BY THE CONTRACTING AUTHORITY)

	YES	NO
		ı
STEP 1: EVALUATION OF THE FULL APPLICATION FORM		
DECISION: A. The 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 Committee has recommended the proposal for Eligibility verification after having been put on the reserve list according to the top ranked scored proposals		
The evaluation of the proposal has been conducted by: Date:		
STEP 2: ELIGIBILITY VERIFICATION		
3. The checklist of the Application form has been duly completed		
4. The supporting documents listed hereunder, submitted according to the Guidelines (Section 2.4), satisfied all the eligibility criteria of the applicant and its partner(s) (if any)		
a. The applicant's statutes		
b. The statutes or articles of association of <u>all partners</u>		
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 Applicants).		
f. Copy of the applicant's latest accounts.		
The assessment of the eligibility has been conducted by: Date:		
DECISION: The Committee has selected the proposal for funding after having verified its eligibility according to the criteria stipulated in the Guidelines for Applicants.		