


AFRICAN UNION		UNION AFRICAINE
الاتحاد الأفريقي		UNIÃO AFRICANA



African Union Research Grants

Open Call for Proposals -2011

Guidelines for Grant Applicants

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

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

	<p>10th European Development Fund</p> <p>The African Component of the ACP Research Programme for Sustainable Development</p> <p>Ref: EuropeAid/130-741/D/ACT/ACP</p>	
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NOTICE

The African Union Commission with the support from the Secretariat of the African, Caribbean and Pacific (ACP) Group of States and European Commission (EC) launched the First African Union Research Grants Call Proposals for 2011, during the 2010 EU-Africa Summit in Libya, on [29 November 2010]. The programme is an innovative way to ensure the full participation of the African Member States and African researchers in the implementation of the Africa's Science and Technology Consolidated Plan of Action (CPA). This Guideline for the Grant Applicants, developed by the Department of Human Resources, Science and Technology, will facilitate and assist prospective applicants to complete the Grant Application Form in order to access the research grants. Applicants are requested to read this document carefully.

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

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1. THE AFRICAN RESEARCH GRANTS PROGRAMME

1.1 BACKGROUND

The African Union Commission (AUC) is committed to ensure that science and technology in Africa contributes to its sustainable development efforts. The Act establishing the Union recognizes the need for Africa to embark on an ambitious strategic science and technology development programme, aimed at contributing to the wellbeing and improved quality of life for the African citizens. To this end the establishment of the AU in 2002 was accompanied by the setting up the AUC with a special Department of Human Resources, Science and Technology to drive this strategic programme.

This has further generated tremendous momentum in deploying science as a tool for development in Africa. The AUC created a Conference of Ministers in charge of Science and Technology (AMCOST) as a platform for the Union to periodically deliberate on science and technology issues. In 2005, the AUC through the AMCOST successfully developed Africa's Science and Technology Consolidated Plan of Action (CPA) to secure our competitive advantage and to leverage on our capabilities and capacities by focusing our research and development to respond to our challenges and needs. The CPA brings together the AUC's and NEPAD's science and technology programmes and it articulates Africa's common objectives and commitment to collectively use science as a development tool through science and technology capacity building; knowledge production and management; and technological innovation. It addresses the way forward to use science and technology as catalysts for sustainable development based on its well defined clusters of priority R&D, Policy and Institutional flagship programmes.

The Eighth Ordinary Session AU Executive Council approved in 2006 decision EX.CL/Dec.254 (VIII) on science and technology and in the process endorsed the CPA as adopted earlier by Ministers in charge of Science and Technology in September 2005. In 2007 the AU Heads of State and Government adopted the theme "Science, Technology and Research for Africa's socio-economic development" and subsequently declared 2007 as the launching year for building constituencies and champions for science, technology and innovation in Africa [Assembly/AU/Dec.161 (VIII)]. In December the same year the EU-Africa Summit in Lisbon, adopted a joint cooperation strategy that has a dedicated partnership on science.

The AU Commission, as an innovative way to exploit and utilize Africa's existing scientific excellences, promote greater participation and involvement of African scientists, researchers and institutions in implementing of the CPA designed the African Union Research Grant Programme. The objectives of this programme are to build the AU Commission capacity to create a sustainable system of competitive research grants at Pan African level; put in place procedures and processes to manage grants within the AU Commission with the ambition to utilize the accumulated experience to develop in future a fully fledged African Framework Programme for Research; and promote intra-Africa and international cooperation and collaboration in research. It is a financial instrument dedicated to deploy science and to improve research so that it contributes to continent's sustainable development efforts.

The Programme, formulated as one of the lighthouse projects, has been identified among the early deliverables in Partnership No.8 on Science, Information Society and Space of the EU-Africa Joint Strategy and its Action Plan, Lisbon 2007. It is financed through the Financing Agreement between

the European Commission and the African, Caribbean and Pacific (ACP) Group of States (Agreement No REG/FED/2009/021-575) under the ACP Research for Sustainable Development Program RPR/011/09, of the 10th EDF Intra-ACP Envelop. The African Union Commission through its Department of Human Resources, Science and Technology is the Delegated Regional Authority for the African Component of the Programme.

The implementation strategy for the grants is through (highly encouraged) the creation of partnerships (research networks) for regional and sub-regional co-operation and of inter-institutional co-operation in Africa via setting up of consortia of scientists with minimum participation of at least three organisations out of which a majority should be Member States in the ACP Group of States, from at least two different African countries.

The First Call for Research Projects and Proposals will be limited to the following science and technology strategic priority actions: (a) Post-harvest and Agriculture, (b) Renewable and Sustainable Energy, and (c) Water and Sanitation.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **Overall objectives** of this Call for Proposals are to improve science and technology research to contribute to African sustainable development through:

- innovatively and sustainably building Africa's research capacities through direct funding of the AU Science and Technology Policy, particularly the implementation of the Consolidated Plan of Action (CPA) and its lighthouse projects; and
- enhancing intra-regional scientific research collaboration and cooperation that contributes to Africa's sustainable development

The **Specific objective** of this Call for Proposals is to award grants to finance **research projects** in the fields of (a) Post-harvest and Agriculture, (b) Renewable and Sustainable Energy, and (c) Water and Sanitation. It is highly envisaged that the deployment and the improvement of science and technology research in these challenging areas will effectively contribute to Africa's poverty reduction strategies, economic growth and social development efforts.

Expected Results

The impact and expected results on the specific objectives of this Call for Proposal addressed by the main axis research actions are:

- Enhanced Food security and Food safety;
- Better adapted renewable and sustainable energy technologies; and
- Improved integrated water resources and waste management

Priority areas

The African Union Research Grants First Call for proposal for 2011 will distinctly focus on the following priorities actions of the Africa's Science and Technology Consolidated Plan of Action (CPA) and its Lighthouse Projects:

- (1) Post-harvest and Agriculture
- (2) Renewable and Sustainable Energy
- (3) Water and Sanitation

More details on these focus areas are given in Section 2.1.3 of this Guidelines.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under the 2011 First Call for Proposals is EUR 7,000,000 and will be distributed across the priority thematic areas as follows:

Indicative allocation of funds by lot

- 3,500,000 €for Post-harvest and Agriculture (lot 1)
- 1,750,000 €for Renewable and Sustainable Energy (lot 2)
- 1,750,000 €for Water and Sanitation (lot 3)

In the case where the financial allocation foreseen for one of the thematic areas cannot be fully used due to insufficient quality or number of proposals received, the AUC reserves the right to transfer allocations from one thematic area to the other under the condition that all eligibility criteria are met. **The AUC reserves the right not to award all available funds.**

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

Size of grants

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

- minimum amount: 500,000 €
- maximum amount: 750,000 €

Any grant awarded under this Call for Proposals must fall between the following minimum and maximum percentages of total eligible costs of the action

- Minimum percentage: 50 % of the total eligible costs of the action.
- Maximum percentage: 80% of the total eligible costs of the action (see also section 2.1.4).

In no event shall the Contracting Authority's contribution exceed 80% of the total accepted costs.

The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund¹.

¹ Any mention of European Union financing must be understood as referring to European Development Fund financing.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this Call, in conformity with the provisions of the Practical Guide to contract procedures for EC external actions, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm).

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

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

2.1.1 Eligibility of applicants: who may apply?

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

- be legal persons **and**
- be nationals² of African Union³, ACP, EU Member States, Least Developed Country as defined by the United Nations (LDCs), European Economic Area (EEA) Member States, one of the official EU candidate countries or, for proposed actions taking place in at least one LDC, reciprocal access shall be granted to the members of the OECD/Development Assistance Committee **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- be registered locally in (or have a memorandum of understanding in relevant research areas, with) an eligible African country prior to the publication of this call for proposals **and**
- have at least a three-year record in the formulation and/or implementation of research activities in Africa for which they will have to provide the relevant legal documents **and**
- be able to demonstrate their experience and capacity to manage activities corresponding in scale and complexity to those for which a grant has been requested **and**

² Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a "Memorandum of Understanding" has been concluded.

³ In accordance with article 20(6) of annex IV of the Cotonou Agreement, eligibility is open to African Union nationals to the extent that the submitted project has a clear regional dimension and involves a majority of ACP entities within the partnership (see also 2.1.2 below).

- have stable and sufficient sources of finance to ensure the continuity of their organisation throughout the implementation of the proposed action **and**
- belong to consortia of scientists as explained under 2.1.2 (2)- composition of partnerships. **and**
- belong to at least one of the following categories:
 - (a) National or regional science and technology organizations, research institutions, universities, government ministries or public institutions dealing with scientific research including regional science and technology institutions, with separate legal status, not belonging to any national system but formally recognised by one of the eligible countries; or
 - (b) Established science and technology networks provided that: all network members and the network headquarters are located in eligible countries; the network has a legal status; the network is applying in its own right; and the network has been registered for a minimum of two years;

(2) Potential applicants may not participate in calls for proposals or be awarded grants if:

- they are in any of the situations which are listed in Section 2.3.3 of the ‘*Practical Guide to Contract Procedures for EC external Actions*’, available from the following Internet address: http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm

In part B section 7 of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

2.1.2 Partnerships and Eligibility of Partners

(1) Partnerships

- The Applicant must act as the lead organization in a partnership and, if selected, as the contracting party (the ‘Beneficiary’)
- Applicants must operate within a partnership and act with partner organisations as specified hereafter. Established research networks and regional bodies are considered partnership in themselves if their composition meets the below criteria

(2) Composition of partnerships - (consortia of scientists)

- Partnerships must involve at least three organisations out of which 2 should be national of African ACP countries (not including South Africa), from at least two different African countries. The number of African ACP partners in a partnership should be a majority. There is no upper limit to the number of members in a partnership. However, a partnership should be composed in such a way as to allow for the achievement of project objectives in the most efficient manner. Those proposals having partners from the different AU Regional Economic Communities (RECs) have an added advantage.

- Established African research networks and regional or inter-state bodies/organisation are considered partnership in themselves and do not have to form alliances with other organizations for the purpose of this programme, if their membership fulfils the conditions stated above for partnership and they meet the criteria for eligibility of applicants (2.1.1).

(3) Partners

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

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

The partners must satisfy the same eligibility criteria as the Applicants referred to in Section 2.1.1 above. Proposals, which fail to comply with these principles, will be rejected by the Evaluation Committee.

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

(4) Associates

Other organizations (institutions) may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. The associates have to be mentioned in Part B Section 5 -“Associates of the Applicant, participating in the Action” of the Grant Application Form.

(5) Subcontractors

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

2.1.3 Eligible Actions: Actions for which an application may be made

(1) Definition of an Action

An action (or project) composed of a set of activities, is a proposal that responds to the specific objectives of the programme.

(2) Duration

The planned duration of an action may not be less than 12 months nor exceed 36 months. Only eligible costs incurred during this period will be recognized for funding. All Actions have to be completed within the execution period mentioned above.

(3) Priority sectors

Actions must focus on one or more of the following areas:

a) Post-harvest and Agriculture

- ***Food security and productivity: focusing on processing, improvement of quality of agricultural produce, agro-forestry, cereals, root/tuber crops, food legumes***
Research projects may address issues such as transfer of new and innovative technologies: technologies on cereals (maize, rice, sorghum, millet); leguminous crops (groundnut and cowpea); tuber crops (cassava, yam and potato); forestry and agro-forestry system; cash crops (cotton, cocoa, coffee, oil palm)., transfer of post-harvest processing technologies and value adding to agricultural produce.
- ***Crop-livestock integration***
Research projects will address issues such as transfer of new innovative technologies on small and large ruminants (sheep, goat and cattle); poultry.
- ***Agricultural policy and commercialization, marketing of agricultural produce***
Research projects must demonstrate capacity for high economic returns and significant impact on stakeholders groups. Priority will be given to projects that foster collaborations of highest regional/national importance. Research projects judged to be of highest quality and most likely to produce results that are relevant to the needs of the African agricultural stakeholders will be funded.

b) Renewable and sustainable energy

- ***Sustainable energy at a local and regional level***
Research projects will address start-up or demonstration projects on sustainable energy issues that could be successfully operating in the community.
- ***Renewable energy use and its impact on the environment***
Research projects will be demonstrable benefits to the environment and shows an evidence of renewable energy use and the energy generated or saved, greenhouse gas emissions reduced and benefits to the local environment.
- ***Innovative approach to Renewable and sustainable energy***
Research projects will use established renewable energy systems technologies (such as solar photovoltaic systems, solar hot water systems, wind energy systems, geothermal systems or biomass energy systems) and advanced energy efficiency, conservation and facilities to energy control. These projects must be innovative aspects to the scheme as a whole. These could include using novel approaches to marketing; better financing schemes; technical developments; training and skills development.
- ***Measures for making sustainable energy more widespread.***

Research projects may support new sustainable energy products, energy efficiency products technologies and services at local and regional levels that are not already widely available on a commercial basis.

c) Water and sanitation

– *Water for livelihood*

Research issues related to safe drinking water, Sustainable sanitation, Pollution abatement, and water treatment. These projects may address issues on new water sources, pollution of drinking water, reduction of impact on freshwater resources, identification and description of polluting activities and pollution sources, ways to reduce polluting effluents, waste - water and effluent collection, and characterization, development of water treatment techniques, development of strategies waste-water and sludge reuse

– *Water for agriculture*

Research issues related to water for agriculture which may address issues on development of the on-site rain-fed agriculture and rainfall harvesting methods, reducing evaporation from soil and water surfaces through appropriate land management, use of low-quality irrigation water and irrigation technologies

– *Social and economic dimensions of water resources management*

Eligible research topics will be related to the social and economical issues and management issues that are directly relevant to the sustainable management of water resources. These might include research on sustainable solutions to conflicts over access to water resources, as well as research on the production and transfer of knowledge for sustainable water management

(4) Location

The majority of the Action must take place in one or more African Countries eligible to this call for proposals.

(5) Types of actions

- The type of research action referred to as the main axis in this programme, which may be financed under this call for proposal must relate to the overall and specific objectives, purpose and expected results of the programme specified in section 1.2.

(6) Types of activity

The types of activity which may be financed as part of an action are, inter alia:

- Research activities including data-collecting through desk research, stakeholders consultations and field visits and any other activity necessary for a proper implementation of the proposed research project;
- Development and implementation of a proper management system for the proposed action;

- Preparation and implementation of a communication and visibility plan (with the corresponding budget given in Annex B: Budget) in line with the communication and visibility manual for EU external actions: http://ec.europa.eu/europeaid/work/visibility/index_en.htm ;
- Laboratory equipment needed for the empirical processes;
- Preparation and implementation of a monitoring and evaluation (M&E) plan (with the corresponding budget given in Annex B: Budget) for monitoring the proposed action and to carry out periodical evaluations;
- Participations of the project manager to annual 1 to 2 days stakeholders meetings organized by the contracting authority, in principle in Addis Ababa (with the corresponding budget for flights and per diems given in Annex B. Budget, clearly identified);
- Publication / dissemination of the outcome of the research project to stakeholders in the continent.
- Project Proposals could accommodate minor capacity building components if there are weaknesses and activities that can be foreseen for facilitating the implementation of the project.

(6) Ineligible actions

The following types of **actions** are ineligible:

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

(8) Number of applications and grants per applicant

- In order to provide equal opportunities to the widest number of eligible applicants to participate in this Call for Proposals, an applicant may submit a total of three different proposals with the same partner institution(s)
- An Applicant may be awarded more than one grant under this Call for Proposals, provided that it has the required managerial and financial capacity (please refer to the selection criteria indicated in section 2.3.)
- An applicant may not submit the same proposal under different lots. However, an applicant may submit different proposals under different lots.
- An applicant may at the same time be partner in another application.

- Partners may take part in more than one application.

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

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

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

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

(1) Eligible direct costs

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

Note that taxes, including VAT will only be accepted as eligible costs when the Beneficiary (or, where applicable, its partners) can show it cannot reclaim them. Taxes shall in such case be included in the Budget of the action under the heading "Taxes".

Staff costs

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

Subcontracted costs

- Overall project management, for which the Applicant will be responsible, cannot be subcontracted. It is suggested that the involvement of subcontractors only take place if necessary for the implementation of the project and for services which cannot be secured through the project partners. No projects should be controlled by subcontractors or be driven by commercial purposes.
- The costs for subcontracted services – including consultancy services – must be listed in the table 'Budget for the Action' (see Annex B, headings 5 &6). In addition, financial details

concerning the subcontracted activities (rates, number of days/months, outputs, etc.) must be developed as necessary in the 'budget justification'.

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

Participation in stakeholders meetings

Applicants must foresee, and make appropriate budget allocation for, the participation in the stakeholders meetings and visibility activities, an amount of €5,000 per annum in budget line 2.3 in the table "Budget for the Action" (see Annex B).

(2) Contingency reserve

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

(3) Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the estimated total eligible direct costs (excluding taxes). Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of the standard grant contract. The applicant may be asked to justify the requested percentage before contracting. However, once the flat-rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

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

(4) Contributions in kind

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

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

(5) Ineligible costs

The following costs are not eligible:

- debts and debits service charges;
- provisions for losses or potential future liabilities;
- interest owed;
- costs declared by the beneficiary and covered by another action or work programme;

- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including VAT., Notwithstanding, these may be considered as costs of the Action for the purpose of co-financing where the Beneficiary (or the Beneficiary's partners) can prove it cannot reclaim them. In such cases, the cost should be included in the Budget under the heading "ineligible costs". Please note however that for the purpose of co- financing, taxes are the only ineligible costs that will be considered within the total costs of the Action.
- credit to third parties

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

2.2.1 *Application form*

- Applications must be submitted in accordance with the instructions on the Concept Note and the Full application form included in the Grant Application Form annexes to these Guidelines (Annex A).
- Applicants must apply in **English or French**
- The application form must be completed carefully and as clearly as possible so that it can be assessed properly
- Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) may lead to the rejection of the application.
- Clarifications will only be requested when information provided is unclear, thus preventing the AU Commission from conducting an objective assessment.

Please note that:

- Only the completed Grant Application Form and the annexes (e.g. Budget, Logical Framework) – that are attached to these Guidelines – **will be considered valid** and will be transmitted to the evaluators and assessors. It is, therefore, of utmost importance that these documents contain all relevant information concerning the Action. No supplementary annexes should be submitted.
- Applicants must keep strictly to the format of the application and fill in the paragraphs and the pages in order.
- The information provided must explain the proposed Action in a concise and complete manner.
- Applicants must provide the budget with round figures with two decimals.

- No additional and unrequested information must be included.
- Hand-written applications will not be accepted.

2.2.2 Where and how to Submit the Applications

(1) Where to send:

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

Postal Address:

Programme Management Unit
African Union Research Grant
Department of Human Resources, Science and Technology
African Union Commission
Roosevelt Street
P. O. Box 3243
Addis Ababa, Ethiopia

Hand Delivery Address

Programme Management Unit
African Union Research Grant
Department of Human Resources, Science and Technology
African Union Commission
Addis Export building, First floor
Vatican Embassy Road
Addis Ababa, Ethiopia

(2) How to send:

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

Paper version

One (1) original and two (2) copies in A4 or letter size, **each separately bound and inserted together in one envelope, must contain** the following completed documents, for which the Annexes A - C of these Guidelines **must be used**:

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

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

Electronic version

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

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

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

The envelopes containing the Paper Version and the Electronic Version of the application must be inserted in one outer envelope sealed that must bear the following labels:

(a) In the middle part of the envelop back

To: Programme Management Unit
African Union Research Grant
Department of Human Resources, Science and Technology
African Union Commission
Roosevelt Street
P. O. Box 3243
Addis Ababa, Ethiopia

(b) In the left side of the envelop back

[Insert the title of the Call for Proposals "African Union Research Grants" as well as the lot applied for]

[Insert the reference number of the Call for Proposals "HRST/ST/AURG/CALL1/2011" / EuropeAid/130-741/D/ACT/ACP]

(c) In the right side of the envelop back

From: [Insert the **Full Name, Contact and E-mail Addresses** of the Applicant] and add the following note ["**Not to be opened before the opening session**"]

Please note that:

- Applicants must verify that their application is complete by filling in the 'Checklist' and signing the 'Declaration by the Applicant' (Part B Section 6 respectively Section 7 of the Full Application Form). **Incomplete Applications may be rejected.**
- The 'Declaration by the Applicant' (Part B Section 7 of the Grant Application Form) must

bear original signatures and stamps. The person to sign this should be authorized to act on behalf of the partnership submitting the proposal. At the same time, the sheet 'The Applicant' (Part B Section 3.1 of the Grant Application Form) must identify the contact person to whom any requests for clarification or further information could be addressed.

- The 'Description of Partners' (Part B Section 4.1 of the Grant Application Form) has to be filled in either **by the partners themselves or by the Applicant** on the basis of the information provided by the partners.
- All partners, with the exception of the Applicant, have to sign a 'Partnership Statement' (Part B Section 4.2 of the Grant Application Form). The person to sign this should be the person legally authorized to represent the partner institution.
- Faxed or scanned copies of signed Partnership Statements will be accepted, but Applicants may be subsequently asked to replace them with originals.
- Applicants who belong to the categories of organizations 'b' as mentioned in Section 2.1.1 and who act as partnerships in themselves do not have to complete the above 'Description of Partners' and 'Partnership Statement'.

Please also note that:

- Where an Applicant sends several different proposals, each one has to be sent separately and independently.
- **Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.**

2.2.3 Deadline for submission of Applications

The deadline for the submission of applications to the address stated in Section 2.2.2 is **[30 April 2011]**, as evidenced by the date of dispatch, the postmark or the date and the hour of the disposal slip (**17:00 Hours, Addis Ababa time (+3 GMT)** at the latest in case of hand-deliveries). **Any application submitted after this deadline will be automatically rejected.**

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of the first evaluation step (i.e. Concept Note) (see indicative time table under section 2.5.2)

2.2.4 Further information for the Application

- Questions related to the completion of the Grant Application Form must be received by e-mail, post or fax **no later than 21 days before the deadline for the submission of proposals** to one of the address/es listed below:
 - (i) **E-mail address:** [\[research-info@africa-union.org\]](mailto:research-info@africa-union.org)

(ii) **Postal address:** Programme Management Unit of the
African Union Research Grant
Department of HRST
African Union Commission
P. O. Box 3243
Addis Ababa, Ethiopia

(iii) **Fax number:** +251 115 517 844

- Replies will be given no later than 11 days before the deadline for the submission of proposals, and the AUC has no obligation to provide further clarifications after this date.
- In the interest of equal treatment of applicants, the AUC cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities.

Questions that may be relevant to other Applicants, together with the answers, will be published on the Programme's Website: [<http://www.africahrst.org/stict/rgp>] and on the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>. It is therefore highly recommended to regularly consult the above-mentioned website in order to be informed of the questions and answers published.

2.3 EVALUATION AND SELECTION OF APPLICATIONS

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

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

STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 of the Checklist (section 6 of part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the action.

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

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

Evaluation Grid

	Scores	
	Sub-score	30
1. Relevance of the action		
1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication)	5x2*	
1.3 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	
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices	5	
2. Design of the action	Sub-score	20
2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	
TOTAL SCORE		50

* Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses more than the required minimum number of priorities as indicated in section 1.2 (Objectives of the programme) of these guidelines.

** the scores are multiplied by 2 because of their importance

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

First, only the Concept Notes which have been given a score of a minimum of 30 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to twice the available budget for this Call for Proposals, taking into account the indicative financial envelopes foreseen by lot.

Following the Concept Note evaluation, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether the Concept Note were evaluated and the results of that

evaluation. The Evaluation Committee will subsequently proceed with the applicants whose proposals have been pre-selected.

STEP 2: EVALUATION OF THE FULL APPLICATION

The following will be assessed:

- The full application form satisfies all the criteria specified in points 1-8 of the Checklist (Section 6 of part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

The award criteria allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover such aspects as the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

Scoring:

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

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicant and, if applicable, partners have sufficient experience of project management?	5
1.2 Do the applicant and, if applicable partners have sufficient technical expertise? (notably	5

knowledge of the issues to be addressed.)	
1.3 Do the applicant and, if applicable, 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 of the action	30
<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the partners' level of involvement and participation in the action satisfactory?*	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action sustainable: - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>) - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	5
5. Budget and cost-effectiveness of the action	15
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
Maximum total score	100

*the scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

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

Provisional selection

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope (€7,000,000) will be established as well as a reserve list following the same criteria.

Please note that:

- If, in addition to the partnership preference stated in Section 2.1.2 of these Guidelines, two applications attain the same score, the one with the higher score on the 'Relevance' criteria will be given a higher ranking.
- The scores awarded in this phase are completely independent from those given to the Concept Note of the same application

STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

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

The Declaration by the applicant (Section 7 of part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.

The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

- (1) The statutes or articles of association of the applicant organisation⁴ and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.⁵ [if international organisations are eligible: This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:

⁴ Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

⁵ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

- (2) Where the grant requested exceeds EUR 500 000 (EUR 100 000 for an operating grant), an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available. This obligation does not apply to international organisations. This obligation does not apply to public bodies.
- (3) Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)⁶.
- (4) Legal entity sheet (see annex D of these Guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.
- (5) A financial identification form conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

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

Where such documents are not in one of the official languages of the African Union, a translation into English or French of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the African Union other than English or French, it is strongly recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's eligibility, into English or French.

If the supporting documents are not provided before the set deadline the application may be rejected.

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

2.5 NOTIFICATION OF THE AUC'S DECISION

2.5.1 Content of the decision

⁶ This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

- Applicants will be informed in writing (normally by e-mail) of the AUC's decision concerning their application and the reasons for the decision.
- Applicants believing that they have been harmed by an error or irregularity during the award process may petition to the AUC directly. The AUC must reply within 90 days of receipt of the complaint. See further section 2.4.15 of the Practical Guide (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm).

2.5.2 Indicative time table

	DATE	TIME*
Deadline for request for any clarifications from the AUC	09 April 2011	
Last date on which clarifications are issued by the AUC	19 April 2011	-
Deadline for submission of Application Form	30 April 2011	1700 Hours
Information to applicants on the opening & administrative checks and concept note evaluation (step 1)	June 2011*	-
Information to applicants on the evaluation of the Full Application Form (step 2)	August 2011*	-
Notification of award (after the eligibility check) (step 3)	August 2011*	-
Contract signature	October 2011*	-

***Provisional and indicative date.** All times are in the time zone of the country of the African Union Commission (Ethiopia)

This indicative timetable may be updated by the Contracting Authority during the procedure. In such case, the updated timetable shall be published on internet at the AUC website <http://www.africahrst.org/stict/rgp> and the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

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

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard contract (see Annex F of these Guidelines). By signing the

Application form (Annex A of these Guidelines), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the Standard Grant Contract.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the Contracting Authority will be used instead of the standard grant contract provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU external actions.

Implementation Contracts

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

LIST OF ANNEXES

GRANT APPLICATION SUPPORTING DOCUMENTS

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)

Annex D: Legal Entity Sheet (Excel format)

Annex E: Financial Identification Form

Annex F: Standard Contract

- Annex II: General Conditions Applicable to European Union-Financed Grant Contracts for External Actions
- Annex IV: Contract Award Procedures
- Annex V: Standard Request for Payment
- Annex VI: Model Narrative and Financial Report
- Annex VII: Model Report of Factual Findings and Terms of Reference for an Expenditure Verification of an EU Financed Grant Contract for External Actions
- Annex VIII: Model Financial Guarantee
- Annex IX : Standard Template for Transfer of Ownership of Assets

Annex G: Daily allowance rates (Per diem), available at the following address:

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

Annex H: AU Members States in the ACP Group of States

Project Cycle Management Guidelines available at the following address:

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