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**GLOBAL MONITORING FOR ENVIRONMENT AND SECURITY (GMES) AND AFRICA SUPPORT PROGRAMME**

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**GUIDELINES FOR GRANT APPLICANTS**

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LIST OF ABBREVIATIONS

AU-African Union

AUC-African Union Commission

EU-European Union

EC-European Commission

ACP-African, Caribbean and Pacific States

EO-Earth Observation

LTMNR- Long-Term Management of Natural Resources

WRM-Water Resources Management

M&C-Marine and Coastal

LME- Large Marine Ecosystem

RECs-Regional Economic Communities

RICs- Regional Implementation Centers

MESA- Monitoring of Environment and Security in Africa

AMESD-African Monitoring of Environment for Sustainable Development

MTAP/PUMA-Meteorological Transition in Africa/Preparation for the Use of Meteosat [Second Generation] in Africa

**Definition of keywords and other terminologies**

|  |  |  |
| --- | --- | --- |
|  | **Application** | Application in these guidelines is the conversion and processing of raw data to products (added-value data, map, numbers, figures and graphics) and information that address specific subject matters (themes and sub-themes). |
|  | **Product** | For a given Application, Earth Observation, in situ or ancillary datasets are processed and transformed into products such as maps, graphs, indices, other statistics etc. It is a result of the workflow. |
|  | **A Service** | Earth Observation service refers to activities, processes, products and information in the context of operational and continuous delivery on thematic issues for an end user. |
|  | **Component** | This refers to different sectors that are themselves constituents of a service. A component can cover several themes and be served by several applications. |
|  | **Theme** | In the context of the first phase of GMES & Africa, it refers to water, natural resources and marine & coastal areas. THEME is something else in the tables of applications !!! |
|  | **Consolidation** | In the context of this call, consolidation could refer to an exercise of combining two or more existing applications into a single application using the principle of “Optimization by Combination”. Consolidation could also refer to the continuation of the applications that have been running in previous projects such as PUMA, MESA, AMESD with the aim of improving quality of a service by limiting the number of applications addressing it, in order to avoid loss of accuracy during integration. The application already exists and thus it implies continuation. This should also not insinuate that institutions continue with their running applications and fail to maximize their potential in developing new ones |
|  | **Extension** | In the case of this call, extension is only possible with an operational application and it refers to cross fertilisation meaning inter-regionalisation (from a region to another region) or continentalisation (from a region to the continental level). There must be a demand from the beneficiary region(s)/applicant(s) for an application to be considered for extension. The costs related to the extension are met by the beneficiary institution, and thus any foreseen need for extension must be factored in the budget of the applicant's proposal so that it is considered during the Granting period; |
|  | **New application** | New refers to new development meaning initiating a new application from the scratch to address continental or regional needs and priorities. The following phases are involved in the process: Definition, Specification, Validation, Integration and Operationalization (From scratch, meaning not yet done under AMESD and MESA, or elsewhere). Applicants should be aware that we are under an operational program and research should have tested the possibility of the application. |
|  | **Regional Implementation Center (RIC)** | A RIC is a regional or national institution mandated to lead a consortium and entrusted to run assigned application/s in its region or at the continental level. RIC will also be coordinating the Grant allocated to the consortium and thus shall have sufficient administrative and financial capacities to manage a AUC grant. |
|  | **Grant** | The funding provided to support eligible activities, as defined in the Guidelines, carried out by the RIC and its network of institutions forming the consortium. |

# OBJECTIVES OF THE GUIDELINES FOR GMES & AFRICA SUPPORT PROGRAMME GRANT

The objectives of these guidelines are to:

* Provide applicants with relevant information on the GMES & Africa Support Programme, the priority areas for the Call for Proposals and the expected results/outcomes.
* Guide applicants through the rules and the application process to submit their proposals.
* Provide applicants with the proposals' evaluation process and grid for transparency and guidance.
* Inform applicants on how the results will be communicated and published.

# RULES FOR THIS CALL FOR PROPOSALS

These guidelines provide the rules for the submission, selection and implementation of actions financed under this Call, in conformity with the provisions of the **African Union Commission Grants Management Manual** (available on the Internet at this address: <http://au.int>).

## 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, an Applicant must:**

* Be an African institutionwith at least five years of demonstrated experience in implementing large-scale EO projects spanning in at least three countries **and**
* Have at least a 5-year record in the formulation and/or implementation of Earth Observation activities applied to Water & Natural Resources and/or Marine & Coastal Areas in Africa **and**
* Be an institution coordinating and working directly with at least three national institutions from three different countries to deliver on EO projects **and**
* Have a regional (or also continental or global) mandate, e.g. beyond the national boarder of the Applicant **and**
* Be legally registered locally or regionally (the applicant 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**
* Demonstrate stable sources of finance to ensure the continuity of their organisation throughout the implementation of the proposed action **and**
* Belong to consortia of national institutions and academia as explained under 2.1.2 (2)- composition of partnerships and;
* Belongto at least one of the following categories: African national or regional organizations, research institutions, universities applying EO in the thematic areas stated in point ii above;

The Applicant must act as the lead organization and, if selected, as the contracting party (the ‘Beneficiary’). A successful applicant will eventually become a "RIC" with the following roles and responsibilities:

**Roles and responsibilities of a successful RIC**

A RIC is directly responsible for:

* The preparation and management of the action with their partners, not acting as an intermediary.
* Coordinating the consortium to implement the actions of the Grant as elaborated in the Description of the Action document to be submitted together with the application form.
* Coordinating the consolidation or extension or development of new applications, depending on the nature of the selected applications;
* The RIC is the Lead institution that ensures smooth and consistent reporting to the GMES & Africa Support Programme Management Unit, Policy Coordination and Advisory Committee and any other body within the coordination of this programme;
* The RIC is the main accountable institution in the utilization of the allocated Grant and should thus ensure only eligible activities are carried out within its consortium;
* The RIC should ensure coordination of activities so that all actions are completed within the window of the implementation period. Development of new applications should commence soonest possible so that they become operational and continue supporting the two services for at least 30 months;
* Coordinate the necessary research work to improve GMES & Africa services and their usage;
* Establish working relations with RECs to ensure results of the programme adequately inform policy development in the region and thus contributes to meet societal needs by enriching quality of life;
* Establishing cooperation with other RICs to support cross-fertilisation actions;
* Provide the necessary technical support to GMES & Africa national focal points in integrating EO technologies in the relevant service;
* Identifying capacity gaps within the consortium and contributing to development of the capacity building strategy. The RIC should also deliver courses to capacitate institutions within its consortium and furthermore to the national networks including other downstream end-users of the services;
* Support and coordinate communication actions oriented towards decision makers and end-users.

**(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 3.3.1.2 of the ‘**African Union Commission Grants Management Manual**, available from the following Internet address: http://www.au.it)

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 working networks and regional bodies are considered partnership in themselves if their composition meets the criteria below.

1. **Composition of partnerships - (consortia)**

* Partnerships must involve at least five African organisations including the Applicant, three national institutions and one academia, all from different countries.
* There is no upper limit to the number of members in a partnership, provided the partnership is composed in such a way as to allow for the achievement of project objectives in the most efficient manner.
* Partnerships endorsed by Regional Bodies such as African Union Regional Economic Communities (REC) have an added advantage during the evaluation of the concept notes (see section 2.3).
* Partnerships from the different African Union Regions (as defined in the priority areas section of this Guidelines) on cross-regional (inter-regional) or/ and continental issues have an added advantage.
* The RIC is the lead organisation in a partnership and the entity with whom the AUC will sign the Grant. *A RIC* cannot be part of a partnership in another Grant under GMES & Africa.

**(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 to the implementation of the project.
* The Applicant and each of its partners should draw up an agreement (MOU) defining the technical and financial rights and obligations of each partnership member. A clear written allocation of tasks and responsibilities and a clear distribution of costs will contribute to the partnership’s success.
* The contracting authority will further request *f*or all ***signed partnership agreements identifying the roles, responsibilities and budget allocation for each partner institution*** at the time of awarding to successful applicants.
* It is not necessary for partners to have been working together prior to the call. The partnership (consortia) can be established for the purpose of the call.
* All partners should be African institutions or organizations legally registered in Africa or having legal mandate from an African government.
* A RIC cannot be partner for proposals different from the one it is leading. But it can be an associate on other proposals.

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

**(4) Associates**

* Other organizations (national or regional organizations, research institutions, universities) from Africa and Europe may be involved in the action as associates.
* A RIC can be an associate for proposals (regional or cross-regional (inter-regional)) different from the proposal it is leading.
* 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.
* The role of the associates must be clearly defined in the proposal.
* Associates do not have to meet the eligibility criteria referred to in Section 2.1.1 and under section 8 of the AUC Grants Management Manual.
* The associates have to be mentioned in Part B Section IV -“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.
* A RIC cannot be a subcontractor.
* Subcontractors are neither partners nor associates and shall be selected in accordance with 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) is a proposed set of activities that responds to the specific objectives of the programme.

* 1. **Duration**

The planned duration of an action is up to the end of 2020. Only eligible costs incurred during this period will be recognized for funding. All Actions have to be completed within the execution period mentioned above.

* 1. **Priority sector****: Water & Natural Resources and Marine & Coastal Areas**

The priority sector covers the following two Services:

1. Natural and Water Resources Service; and
2. Marine and Coastal Service

These two services will have different components, which cover several themes. Each theme relates to specific areas. The issues related to each theme will be addressed by one or more applications. The application may be based on the existing Services or developed on the basis of existing technology.

The Water & Natural Resources Service has 2 Components that address the combination of two thematic areas, namely, (a) Long-Term Management of Natural Resources, and (b) Water Resources Management.

The Marine & Coastal Areas Service has 4 components: Monitoring and Forecasting of Oceanography Variables, Coastal Area Monitoring, Ship Traffic and Pollution Monitoring, and Marine Weather Forecast.

* 1. **Location**

The Actions must take place in Africa and should address regional, inter-regional and/or continental issues.

* 1. **Types of actions**
* The type of action referred to as the main actions in this support programme, which may be financed under this call for proposals must relate to the overall and specific objectives, purpose and expected results of the programme specified in section 1.2.

**(6) Types of activities**

For each and every application proposed in a Grant, consortia shall propose as minimum the following activities to be implemented:

* Access to the EO data necessary for the applications
* Development and operation of the applications (generation of added-value information at continental, regional or national level)
* Identification of the final Users to which the information will be provided
* Dissemination of the added-value information to (continental, regional and national) users in the region
* Training of the users to use the generated added-value information
* Accompanying activities (training, research, communication, M&E, review, etc)

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

* Development and implementation of a proper management system for the proposed action;
* 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;
* Preparation and implementation of a communication and visibility plan in line with the communication and visibility procedures laid down under Article 6 of the General Conditions of the Standard Grant Contract
* Publication / dissemination of the outcome of the actions to stakeholders in the continent.
* Equipment needed for the implementation of the actions must be purchased, installed and/or maintained as part of the grants to be awarded to RICs. Applicants will bear the cost of “Small equipment” for the Marine and Coastal services, participate in 2 service workshops (1 for each service) and 1 joint workshop covering the 2 services as well as in five regional stakeholders’ workshops (Academia, private sector, RICs and their partners, RECs) organized by AUC.
* Consolidate existing fragmented services in combining them and utilizing the available capacities and infrastructure to produce the desired results. A maximum of 12 consolidated applications could be run in this Action.
* Extend mature applications developed under previous EO projects across the continent.
* Organize regional and national trainings and establish a cooperation framework with the network of universities and with existing specialized regional centres in order to carry out training and capacity development activities as well for applications implementation.
* Develop application based on existing operational data from the Copernicus programme, or from operational EO programme, such as the EUMETSAT ones (Meteosat) or any national space programme providing operational data with long-term perspective of data availability.
* Build on available data access mechanism used in past EO programme.

**(7) Ineligible actions**

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

* Actions that conflict, either directly or indirectly, with the policies of the African Union Commission or which may be linked with a prejudicial image;
* Actions concerned only or mainly with individual sponsorships including participation in workshops, seminars, conferences, congresses without benefiting the RICs and partners ;
* Actions concerned only or mainly with individual scholarships for studies or training courses without benefiting the RICs and partners.
* Any actions not beneficial to the RICs and partners as well as to GMES & Africa overall action.
* Any satellite data purchase with GMES & Africa Grants. The main focus remains to use Copernicus, EUMETSAT and other European EO operational data
  1. **Number of Grants per applicant**
* An applicant submitting for the two services (Water & Natural Resources and Marine & Coastal Areas) should submit two different proposals: the applicant should propose one proposal per service;
* An Applicant can only be awarded one grant even if the applicant submits two proposals for the two services under this Call for Proposals
* There may be an exceptional case where an applicant may win a bid under both services. In this case, AUC will immediately start a negotiation (according to AUC Grant Manual and Procurement policy and rules) with the applicant with the aim to choose which of the two proposals will be pursued and implemented.
* An applicant should not at the same time be partner in another proposal under this call. But it can be an associate for several proposals.
* Partners may take part in more than one proposal.
* For Water and Natural Resources, we will have:
  + A maximum of two (2) grants per region meaning a total of up to ten (10) grants in the continent.
* For Marine and Coastal Areas we will have:
  + One (1) grant per region meaning a total of up to five (5) Grants in the continent.

The objective of the Call, considering management and monitoring capacities, is to have a coverage of maximum fifteen (15) grants in total in the continent.The final number of the grants will depend on the quality and the complementarity of the proposals. The negotiation phase will also allow for rationalising the number of grants awarded.

### 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, however, in case of travel, beneficiaries will be expected to submit evidence of travel in the form of boarding passes).

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 African Union 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 F of the Guidelines).

The total estimated eligible cost is the cost that is deemed necessary by the applicant for the completion of the proposed project.

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”.

10% of the grant should be dedicated to the partner academia (university, research centre, etc.) for capacity building and training as well for learning purpose as stated in the Description of Action of the GMES & Africa Support Programme (Annex 1).

**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. Sub-contracting only applies to technical services for which the applicant cannot provide, or services that may be considered too outstretch for the applicant to dispense. This is to avoid situations where subcontractors may end up controlling the programme making it commercially driven.
* 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’.
* A minimum of 20% of the grant received by a RIC should be reserved for subcontracting to the private sector through competitive calls to be published by the RIC. The proposals should indicate parts of the activities in which they envisage private sector involvement (sub-contracting). In this context, partnerships between African and European companies may be envisaged provided applications are introduced by a lead African company. There could be derogations to the 20% requirement in duly justified cases where private sector bids are insufficient. In such a situation, the RIC should duly justify the scenario in light of the outcomes of the competitive calls.

**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 organization and/or participation in workshops, meetings and visibility activities identified under the "Types of Activity" as mentioned in section 2.1.3 (6).
* Participation in any other meeting and workshop not identified under the "Types of Activity" in section 2.1.3 (6) should be submitted to AUC for approval.

1. **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.

1. **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.

1. **Contributions in kind**

Contributions in kind[[1]](#footnote-1) 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. To be rephrased salaries of staff participating in the programme is considered as co-financing.

1. **Co-financing**

A proposal that offers more co-financing will attract more score in the evaluation process.

The co-financing could include staff salary paid by the RICs from its own budget different from the Grant. It should be clearly demonstrated and proven that the staffs is effectivelly part of the Consortia and that his salary is already being paid as existing staff of the Consortia through one of the partners. Associate and subcontractor' staff are not considered for this point.

1. **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

* Proposals 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 African Union 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:**

Proposals 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:**

GMES & Africa Support Programme Management Unit

Department of Human Resources, Science and Technology

African Union Commission

Roosevelt Street

P. O. Box 3243

Addis Ababa, Ethiopia

**Hand Delivery Address**

GMES & Africa Support Programme Management Unit

Department of Human Resources, Science and Technology

c/o The Registry Service Unit

African Union Commission

Roosevelt Street

Addis Ababa, Ethiopia

1. **How to send:**

Proposals 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 VI 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 (USB flash disc/flash memory) 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 separate electronic files:

* Please split the Grant Application Form into two different electronic files: Part A (Concept Note) and Part B (Full Application Form).
* One electronic file for the budget and
* One electronic file for the logical framework

**Note that applicants will be disqualified if the above electronic file structure is not respected.**

**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:**

1. **In the middle part of the envelop back**

To: GMES & Africa Support Programme Management Unit

Department of Human Resources, Science and Technology

African Union Commission

Roosevelt Street

P. O. Box 3243

Addis Ababa, Ethiopia

1. **In the left side of the envelop back**

[Insert the title of the Call for Proposals “GMES & Africa Support Programme”]

[Insert the reference number of the Call for Proposals “HRST/ST/ GMES&Africa/CALL1/2017”]

1. **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 V and VI of the Full Application Form respectively). **Incomplete Proposals will be rejected.**
* The ‘Declaration by the Applicant’ (Part B Section VI 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 II 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 III 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 III of the Grant Application Form). The person to sign this should be the person legally authorized to represent the partner institution.
* Only original copies of signed Partnership Statements will be accepted..

***Please also note that:***

* **Proposals 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 proposals

The deadline for the submission of proposals to the address stated in Section 2.2.2 above is **August 21th 2017,** 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 proposal submitted after this deadline, or in the case of delayed postal delivery, received after the Opening and Administrative check process, will be automatically rejected.**

(See indicative timetable under section 2.5.2)

### 2.2.4 Further information for the submission of proposals

* 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 addresses listed below:

|  |  |
| --- | --- |
| 1. **E-mail address:** | [[gmes&africa@africa-union.org](mailto:gmes&africa@africa-union.org)] |
| 1. **Postal address:** | GMES & Africa Support Programme Management Unit  Department of HRST  African Union Commission  P. O. Box 3243  Addis Ababa, Ethiopia |

* 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 from potential applicants, that may be relevant to other applicants, together with the answers, will be published on the GMES & Africa Support Programme’s Website: [**www.au.int/gmesafrica/2017call**](http://www.au.int/gmesafrica/2017call). 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 PROPOSALS

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

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

**STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK**

The following will be assessed:

* The submission deadline has been respected. If the deadline has not been respected the proposal 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 proposal may be rejected on that **sole** basis and the proposal will not be evaluated further.

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

**STEP 2: EVALUATION OF THE CONCEPT NOTE**

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action, its merits and effectiveness, its viability and sustainability. The Contracting Authority reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of proposals are received) and to go straight to the evaluation of the corresponding Full Applications.

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

The Concept Note will be given an overall score out of 80 points in accordance with the breakdown provided in the Evaluation Grid below (Table 1). The evaluation shall also verify the compliance with instructions provided in the guidance for Concept Note, part A of the grant application form.

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

**Table 1: Evaluation grid for the Concept notes**

|  |  |  |
| --- | --- | --- |
|  | **Scores** | |
| **1. Relevance of the action** | Sub-score | 35 |
| 1.1 How relevant to the particular needs and constraints of the target region(s) is the proposal?  1.2 Relevance to the priorities and objectives of the Call for proposals as mentioned in the Guidelines.  1.3 Extension of existing application or development of new application.  How coherent is the proposal with other proposals to ensure that consortia work in synergy  1.4. Having an endorsement from or MOU with the REC or having existing MOU with national governments | 5 |  |
| 5(x2)\* |
| 5(x2)\* |
| 5(x2)\* |
| **2. Effectiveness and Feasibility of the action** | Sub-score | 25 |
| 2.1 Assessment of the problem identification and analysis.  2.2 Assessment of the proposed activities (practicality and consistency in relation to the objectives, purpose and expected results).  2.3 Assessment of the role and involvement of all stakeholders and, if applicable, proposed partners. | 5 |  |
| 5(x2)\* |
| 5(x2)\* |
| **3. Sustainability of the action** | Sub-score | 20 |
| 3.1 Assessment of the identification of the main assumptions and risks, before the start up and throughout the implementation period.  3.2 Assessment of the identification of long-term sustainable impact on the target groups and final beneficiaries.  3.3 Assessment of the EO private sector effective involvement as sub-contractors | 5 |  |
| 5 |
| 5(x2)\* |
| **TOTAL SCORE** |  | **80** |

\*the scores are multiplied by 2 (weight) depending on the importance of the criteria for the success of the implementation of the proposal.

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

Only the Concept Notes which have been given a score of a minimum of 17.5 points in the category "Relevance" as well as a minimum total score of 40 points will be considered for pre-selection.

**STEP 3: 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 proposal may be rejected on that **sole** basis and the proposal will not be evaluated further.

An evaluation of the quality of the proposals, 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 (Table 2). 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, 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.

N.B.: In order to ensure the necessary continental consistency of the project, its full response to the African Space Policy and to ensure that the work will build on the outcomes of the PUMA-AMESD-MESA process, the AUC, after a first evaluation of the offers received reserves the right to enter into direct negotiation with the applicants for possible jointly agreed adaptations to the proposals received.

**The award criteria** allow the quality of the proposals 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 proposals 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.

**Table 2: Evaluation grid for the Full Proposal**

|  |  |
| --- | --- |
| **Section** | **Maximum Score** |
| **1. Financial and operational capacity** | **25** |
| 1.1 Do the applicant and partners have sufficient **experience of project management and management capacity** (including staff, equipment and ability to handle the budget for the action)? | 5 |
| 1.2 Do the applicant and partners have sufficient **technical expertise**? | 5 |
| 1.3 Does the applicant have stable and sufficient sources of **finance**? | 5 |
| 1.4 Does the applicant provide proofs of co-funding contribution? Marks will be attributed as followed and according to the percentage of the eligible costs proposed by the Applicant as co-funding: [0-1%[ = 0; [1-5%] = 1; ]5-10%] = 2; ]10-15%] = 3; ]15-20%[ = 4; ≥20%= 5 | 5x2\* |
| **2. Relevance** | **35** |
| 2.1 Partnership from different African Union Regions (as defined in the priority areas section of this Guidelines) on cross-region (inter-regional) or/ and continental issues has an added advantage. | 5x2\* |
| 2.2 How clearly defined and strategically chosen are those involved (final beneficiaries, **target groups**)? Have their **needs** been clearly defined and does the proposal address them appropriately? | 5 x 2\* |
| 2.3 Consortia coordination, technical and thematic coherence, project understanding and development capacity? | 5 x 3\* |
| **3. Methodology** | **20** |
| 3.1 Are the **activities** proposed appropriate, operational, practical, and consistent with the objectives and expected results? | 5 |
| 3.2 How coherent is the overall design of the action?  (in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an **evaluation**?) | 5 |
| 3.3 Is the partners' and/or other stakeholders' level of involvement and participation in the action satisfactory? | 5 |
| 3.4 Is the **action plan** clear and feasible with **objectively verifiable indicators** for the outcome of the action? | 5 |
| **4. Sustainability** | **20** |
| 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 *(how will the activities be financed after the funding ends?)*  - Institutionally *(will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?)*  - At policy level (where applicable) *(what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc.)?*  - Environmentally (if applicable) *(will the action have a negative/positive environmental impact?)* | 5x2\* |
| **5. Budget and cost-effectiveness** | **20** |
| 5.1 is the ratio between the estimated costs and the expected results satisfactory? | 5 x 2\* |
| 5.2 Is the proposed expenditure **necessary** (relevancy of the expenditure with respect to each targeted activity)? Is the proposed expenditure within the bracket of real cost standards and estimates on the market? Is the proposed expenditure aligned with the eligible activities for the implementation of the action? | 5 x 2\* |
| **Maximum total score** | **120** |

\*The scores are multiplied by 2 or 3 (weight) depending on the importance of the criteria for the success of the implementation of the proposal.

*Note on Section 1. Financial and operational capacity*

If the score is less than 18 points for section 1, the proposal will be rejected.

*Note on Section 2. Relevance*

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

*Provisional selection*

Following the evaluation, a table listing the proposals ranked according to their score and within the available financial envelope of €17, 500,000.00 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 proposals attain the same score, the one with the higher score on the ‘Relevance’ criteria will be given a higher ranking. If the two proposals have the same score with respect to the ‘Relevance’, the one with the higher score on the ‘Sustainability’ criteria will be given a higher ranking. If for the ‘Relevance’ and ‘Sustainability’ the two have the same score, higher ranking will be given to the ‘Budget and Cost effectiveness’ criteria.
* The scores awarded in this phase are completely independent from those given to the Concept Note of the same proposal.
* If fewer proposals are meeting the required evaluation criteria, AUC could either review the selection and evaluation criteria or extend the period for Call for proposals.
* In case more than 10 proposals for Water and Natural resources service are above the requested marks, only the first 10 proposals on the list can be awarded with the grant. But some considerations will be taken into account:
  + If in a region more than 2 proposals are above the requested marks, only up to the first 2 proposals for the region on the list can be awarded with the grant.
* In case more than 5 proposals for Marine and Costal Areas service are above the requested marks, only the first 5 proposals on the list can be awarded with the grant. But some considerations will be taken into account:
  + If in a region more than 1 proposal is above the requested marks, only up to the first proposals for the region on the list can be awarded with the grant.
* In any situation, AUC will negotiate with applicants to make sure that each region has no more than 2 proposals for Water and Natural resources Service and no more than 1 proposal for Marine and Costal Areas service.

**STEP 4: 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 be performed for the proposals that have been received..

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

## 2.4. SUBMISSION OF SUPPORTING DOCUMENTS

All applicants are 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 organisation[[2]](#footnote-2) and of each partner organisation. Where the Contracting Authority has recognized the applicant’s eligibility for another call for proposals within 2 years before the deadline for receipt of proposals, 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.[[3]](#footnote-3)
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.
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)[[4]](#footnote-4).
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.

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 analyzing the proposal.

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 abovementioned supporting documents are not provided before the deadline indicated for the Call, 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

* Applicants will be informed in writing (normally by e-mail) of the AUC’s decision concerning their proposal and the reasons for the decision.

Applicants may appeal to the AUC where they believe that there was an error or irregularity in the award process. Applications for appeals may be raised to the Chairperson of the AUC. The Chairperson of the AUC may respond to the Appeal within 90 days of receipt of the complaint.

### 2.5.2. Indicative time table

**Table 3: Indicative time table**

|  |  |  |
| --- | --- | --- |
|  | DATE | TIME\* |
| Deadline for request for any clarifications from the AUC | July 31, 2017 | 17:00 Hours GMT+3 |
| Last date on which clarifications are issued by the AUC | August 10, 2017 | - |
| Deadline for submission of Application Form | August 21, 2017 | 17:00 Hours GMT+3 |
| Information to applicants on the opening & administrative checks and concept note evaluation (step 1) | October, 2017\* | - |
| Information to applicants on the evaluation of the Full Application Form (step 2) | December, 2017\* | - |
| Notification of award (after the eligibility check) (step 3) | January, 2018\* | - |
| Contract signature | February, 2018\* | - |

\***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 [www.au.int/gmesafrica/2017call](http://www.au.int/gmesafrica/2017call)

## 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.

**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 of the Contract, in line with the AUC procurement procedures.

**Right-to-Audit by AUC**

The Grant Recipient shall establish and maintain a reasonable accounting system that enables AUC to readily identify Grant Recipient’s assets, expenses, costs of goods, and use of funds. The AUC and its authorized representatives shall have the right to audit, to examine, and to make copies of or extracts from all financial and related records (in whatever form they may be kept, whether written, electronic, or other) relating to or pertaining to the Contract or Agreement. Such records shall include, but not be limited to, accounting records, payment vouchers, receipt vouchers, written policies and procedures, memoranda and correspondence

## LIST OF ANNEXES: GRANT APPLICATION SUPPORTING DOCUMENTS

Annex A: Grant Application Form

Annex B: Logical Framework

Annex C1: Legal Entity Sheet - Private

Annex C2: Legal Entity Sheet - Public

Annex D: Financial Identification Form

Annex E: Grant Contract – Special Conditions

Annex I: Description of the Action

Annex II: General Conditions

Annex III: Budget for the action

Annex IV: Procurement Procedures

Annex V: Request for payment

Annex VI-a: Interim Narrative Report

Annex VI-b: Final Narrative Report

Annex VI-c: Financial Report

Annex VII: Expenditure Verification

1. Contributions in kind are provision of goods or services that do not actually represent cash expenditure from the beneficiary.

   By contributions in kind we mean the provision of goods or services to the grant beneficiary free of charge by a third party. Contributions in kind do not, therefore, involve any expenditure for the beneficiary and are not entered in his accounts. Consequently, contributions in kind can never appear in the budget of the action as an eligible cost.

   Voluntary work is considered as in-kind contribution. However staff involved in the project implementation and management but already regularly paid by the grant beneficiary or his partners is not in-kind contribution. However, formal proof of the costs involved is needed (e.g. salary slips/work time documentation/timesheets).

   All contributions which do not represent actual expenditure (be it equipment, materials, lands…) are considered as contribution in kind and not eligible costs

   Staff costs with actual salary/fee is not a contribution in kind but a direct cost and shall be eligible. [↑](#footnote-ref-1)
2. 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 [↑](#footnote-ref-2)
3. To be inserted only where the eligibility conditions have not changed from one call for proposals to the other. [↑](#footnote-ref-3)
4. 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. [↑](#footnote-ref-4)