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## **GUIDELINES FOR GRANT AGREEMENT AWARD**

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### **PURPOSE OF THE GRANT AGREEMENT:**

*Innovations for climate smart agriculture at small holders scale in West Africa -  
GCCA + West Africa (GCCA + WA)*

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### **MAXIMUM AMOUNT PER GRANT AWARDED:**

*230 000 euros (Total budget for the call for proposals: EUR 2 657 251)*

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### **REFERENCE NUMBER:**

GCCA+AO-2020-APP02

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### **ELIGIBLE COUNTRIES :**

**CAPE VERDE, GAMBIA, GHANA, GUINEA, GUINEA-BISSAU, LIBERIA, NIGERIA, SIERRA LEONE.**

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**CUT OFF DATE AND TIME FOR SUBMITTING CONCEPT NOTES: 28 JUNE 2020 at 23:59  
PM (UTC)**

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Updated version  
07 September 2020

## **DISCLAIMER**

This is a restricted call for proposals. As a first step, only the Concept Notes (Part A of the grant application form) must be submitted for evaluation. Subsequently, the lead applicants who have been shortlisted will be invited to submit a complete application. After the evaluation of the complete applications, the eligibility of the applicants provisionally selected will be verified on the basis of the supporting documents requested by Expertise France and the declaration signed by the lead applicant, sent at the same time as the complete application.

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## 1. INNOVATIONS FOR CLIMATE SMART AGRICULTURE AT SMALL HOLDERS SCALE IN WEST AFRICA - GCCA + AO

### 1.1 Background

Between the pre-industrial era and today, the average global temperature has increased by more than 1°C. The impacts observed on the territories are multiple – increased hydric stress, desertification, rarified natural resources, soil erosion, droughts, etc.- and constitute obstacles to the attainment of the 17 Sustainable Development Goals (SDGs).

The African continent finds itself at the very heart of climate change stakes of this first half of the 21<sup>st</sup> century, both on the mitigation component, considering its strong economic and demographic growth which generate growing needs in energy, as well as at the level of adaptation, due to the impacts that can already be observed, but also the daunting development challenges and fight against poverty besetting many African countries, including West Africa. Five of the ten most vulnerable in the world are located in West Africa, and the future climate related vulnerabilities of West African communities will be contrasted, much like today's climates in this vast region. While this agro-ecological complementarity is today an asset, protracted climate contrasts and general degradation of rainfall conditions call for strengthening of regional cooperation frameworks, as observed in the case of the Horizon 2025 Strategic Orientation Framework for the ECOWAS agricultural policy (2017)<sup>1</sup>. ECOWAP is entrenched in a perspective of regional food sovereignty, aiming to ensure coverage of most of the food needs of a population that will multiply by two in the next 25 years (290 millions in 2008, more than 500 millions in 2030). Built on the fundamental principles of ECOWAS, ECOWAP gives the lion's share to increasing regional exchanges of agricultural, livestock and fishing products (which today represent the second most important exchange area, following hydrocarbons).

Such is the context of the Global Climate Change Alliance Plus (GCCA+), which is the second phase of an initiative of the same name, launched by the European Union (EU) in 2007, with a view to strengthening dialogue on climate change between the European Union and the more vulnerable developing countries. The GCCA+ initiative unfolds over several components: i) one « Global » component made of country programs, under the supervision of local EU delegations; ii) one « Intra ACP » component whose coordination is entrusted to the ACP Secretariat in Brussels, and which is split in subregional components, including one focusing on West Africa.

**The GCCA+ - West Africa**<sup>2</sup> aims to participate in the regional West African effort to implement the Paris Agreement on climate through capacity building of regional institutions in West Africa, and by promoting the emergence of innovative solutions on the field to fortify climate resilience of rural and agricultural stakeholders. Indeed, all the countries of the ECOWAS zone (+ Chad and Mauritania) have included agriculture as a priority sector (adaptation and mitigation) for their National level Determined Contributions

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<sup>1</sup><http://araa.org/sites/default/files/media/Cadre%20d%27Orientation%20Strat%C3%A9gique%20ECOWAP%202025%20OFR.pdf>

<sup>2</sup> En savoir plus sur le projet GCCA+ AO : <https://www.expertisefrance.fr/fiche-projet?id=721711>

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(NLDC). Dominated by family agriculture (main source of income and subsistence for 70% of the population), west african agriculture is grappling with difficulties to access funding to invest in sustainable production and scaling of proven technical solutions in order to address climate change and variability. Already facing structural challenges ( progressive saturation of spaces, degradation of soil fertility, etc. ), the region is confronted with the double phenomenon of climate variability and change which affect agricultural performance, supply stability, the occurrence of climate related risks and, consequently, income and food and nutrition security. Thus, the ECOWAS Commission is promoting « *an integrated approach to processing and redirecting agricultural systems in order to durably and equitably increase agricultural productivity and income, boost adaptation and resilience against climate variability and change, and to sequester and/or reduce greenhouse gases where possible and appropriate (...)* »<sup>3</sup>. It has put in place the West African Alliance for climate smart agriculture , and bears today the definition of this call for project proposals operationalized by Expertise France.

This call for proposals spearheaded by ECOWAS is entrenched in the strategic frameworks at regional (ECOWAP 2025) and national (CDN). It constitutes one of the main activities of Outcome 3 (EO3) of the GCCA + West Africa program :

*EO3. Pilot adaptation projects, including solutions based on an ecosystemic approach, already tested and implemented in the ECOWAS countries and used as references for future replication are scaled (extension or replication).*

In this respect, it is piloted by the GCCA+ West Africa Project Coordination Unit (PCU), made available by Expertise France, and hosted within the Regional Agency for Agriculture and Food (RAAF) of the ECOWAS. The PCU of GCCA+ WA will thus be the contact point for project bearers under this call for proposals. CILSS, the technical partner under the GCCA+, is collaborating with ECOWAS and Expertise France within the framework of this call for proposals

### 1.2 Program objectives and priorities

The **general** objective of this call for proposals is to set up climate smart food production systems (mitigation and adaptation) in West Africa through experimentation (research-action<sup>4</sup>) and capitalizing innovative practices and mechanisms focusing on :

- Adaptation, so as to ensure food and nutrition security in a climate change situation (seeds selection, climate services, agro-ecological practices, early warning systems..);
- Soil restoration (4 per 1000, agroforestry, etc.) ;
- Mitigation (carbon sequestration, renewable energy in the processing units, etc.) ;

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<sup>3</sup> Forum of Stakeholders of smart climate agriculture, Bamako, June 2015

<sup>4</sup> Research-action is a process where the social actors are no longer considered as mere passive investigation subjects, but rather increasingly as subjects conducting research in collaboration with research experts. Thus, they are the relevant social groups who will identify the issues they wish to study, analyze them critically and look for adequate solutions.

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- Competitiveness and sustainability of the regional production sectors.

The **specific objectives** of this call for proposals are :

- To fund innovative projects with high replication and/or scaling potential and likely to mobilize additional funds, including from the private sector. This requirement on innovativeness will not focus only the technical/technological aspects, and the experiments may address the entire agricultural value chain (inputs, production, processing and distribution) ;
- To promote partnership approaches (including between different stakeholder categories in order to streamline actions on behalf of climate smart farmers agriculture.
- To document actual experiments and organize research-action on climate smart agriculture in West Africa, through a strong component on project capitalization.

### 1.3 Funding amount granted by GCCA+WA project

**The overall indicative amount available under this call for proposals is 2 657 251 EUR EUR. Expertise France reserves the right to not allocate all available funds**

#### Amounts of grants

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

**minimum amount: 150 000 EUR ;**

**maximum amount: 230 000 EUR.**

#### Percentage of cofinancing:

Any grant applications under this call for proposals must correspond to a minimum percentage of 55% of the total eligible costs of the action and to the following maximum percentages :

- **For lead applicants established in the ECOWAS Member States, Chad or Mauritania:** the grant requested must not exceed 90% of the total eligible costs of the action (see also point 2.1.5),
- **For others:** the grant requested must not exceed 80% of the total eligible costs of the action (see also point 2.1.5).

#### In-kind cofinancing :

Any grant requested under this call for proposals that includes in the proposed budget in-kind contributions must further limit these contributions to 5% of the total estimated costs accepted <sup>5</sup>. If, during the implementation of the action, the progress and final reports show that the total of the accepted costs, the percentage applicable to the total of the accepted costs applies to the total of eligible costs in the call for proposals to ensure the necessary cofinancing.

**Whenever reference is made to the percentage of the eligible costs in the call for proposals, the additional percentage limit applicable to the total of the accepted costs applies. Before submitting your application,**

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<sup>5</sup> Estimated total of costs accepted = estimated total of eligible costs + in-kind contributions, non eligible taxes, etc.

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**please ensure that the contribution does not exceed the maximum percentage allowed for co-financing the accepted costs.**

The balance (i.e. the difference between the total cost of the action and the amount requested from Expertise France) must be financed from sources other than the budget of the European Union or the the European Development Fund<sup>6</sup> or the budget of Expertise France.

## 2. RULES APPLICABLE TO THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call for proposals, in accordance with the EU Procedures Practical Guide PRAG (2016)<sup>7</sup>.

### 2.1 Eligibility criteria

**There are three sets of eligibility criteria , which relate respectively to:**

(1) The actors:

**The lead applicant, that is, the entity submitting the application form (2.1.1),**

**Where applicable, co-applicant(s) (unless otherwise provided, the lead applicant and the co-applicants are herein after jointly referred to as the « applicants » ) (2.1.1),**

**and, if applicable, the entity (ies) affiliated with the lead applicant or co-applicants (2.1.2);**

(2) the actions:

**Actions eligible for a grant (2.1.4);**

(3) the costs:

**Types of costs that may be included in the calculation of the grant amount (2.1.5).**

### Number of applications and grants per applicant / co-applicant

- The lead applicant cannot submit more than 1 request under this call for proposals.
- The lead applicant cannot be awarded more than 1 grant under this call for proposals.
- The lead applicant can be at the same time a co-applicant or an affiliated entity in another application.
- A co-applicant / an affiliated entity cannot be a co-applicant or an affiliated entity in more than 1 request under this call for proposals.
- A co-applicant / affiliated entity cannot be awarded more than 1 grant under this call for proposals.
- An applicant having submitted an unsuccessful proposal in previous calls for proposals for GCCA+AO projects may submit an application in accordance with the rules set out above.

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<sup>6</sup> Where a grant is financed by the European Development Fund, any mention of the financing by the European Union should be understood as referring to funding from the European Development Fund .

<sup>7</sup> The PRAG (2016), is available on the web Site of EuropeAid at the following address: <https://ec.europa.eu/europeaid/prag/previousVersions.do>

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- An applicant who has submitted a successful proposal in previous GCCA+WA calls for project proposals may not apply to this call for proposals.
- A lead applicant having submitted an unsuccessful proposal in previous calls for proposals for GCCA+AO projects may submit an application in accordance with the rules set out above.
- A lead applicant applicant who has submitted a successful proposal in previous GCCA+WA calls for project proposals may not apply to this call for proposals.

### **2.1.1 Eligibility of applicants (lead applicant and co-applicant(s))**

#### **Lead applicant**

(1) To be eligible for a grant, the lead applicant must meet the following conditions:

- Be a legal person ; and
- Be non-profit ; and
- Belong to one of the following categories:
  - non-governmental organization (NGO)<sup>8</sup>
  - farmers and producers organization (FO)<sup>9</sup>
  - territorial or local authority (domain B) ; and
- Be established<sup>10</sup> in a member State of the ECOWAS, in Chad or Mauritania or in a member State of the European Union and;
- Be directly responsible for the preparation and management of the action with co-applicants(s) and the affiliated entity(ies) and not act as an intermediary ; and
- Be able to manage the entire project from design to implementation in the long term, and therefore have at least:
  - experience in coordinating a project ( including the administrative and financial management, monitoring and evaluation and capitalization components) of similar size and in the same sector ; and
  - experience in implementing a project in partnership with an eligible actor of a different nature than that of the leader<sup>11</sup>.

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<sup>8</sup> Are considered as NGOs: civil society organizations, public interest organizations or organizations of humanitarian character not dependent upon a State or an international institution, association or other organizations.

<sup>9</sup> **Under this call, PO are considered as a fully fledged category separate from from that of NGOs.**

<sup>10</sup> The establishment is determined on the basis of the organisation's statutes which must demonstrate that the organization was created by an act of internal law of the concerned country and that its head office is located in an eligible country. In this regard, any legal entity whose statutes were created in another country cannot be considered as an eligible local organization, even if it is locally registered or a "memorandum of understanding" has been concluded.

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- (2) Potential applicants can not participate in calls for proposals or receive grants if they are in one of the situations mentioned in the Practical Guide (PRAG)<sup>12</sup>.

In Part A, Section 3 of the Grant Application Form («Lead Applicant Declaration»), the Lead Applicant must declare that neither he/she nor the co-applicant(s) nor the entity(ies) affiliated are in one of these situations.

- (3) The lead applicant must act with at least one co-applicant belonging to a different category from its/its own:

- partnership with at least one co-applicant is mandatory in the context of the action: proposals made by a sole applicant are not eligible.

- the consortium must obligatorily be made up of **at least** two applicants of different kinds.

*- In other words the consortium must be constituted with at least one lead applicant and a co-applicant and at least two actors must be of a different nature.*

*- For example :*

*- (i) Consortium made up of **two actors** (in this case it is compulsory that the two actors are imperatively of different nature): the lead applicant is an NGO and the co-applicant a research institute **OR** the lead applicant is an NGO and the co-applicant a PO, etc.*

*- (ii) Consortium made up of three (or more) actors: the lead applicant is an NGO, the no1 co-applicant is a community; no. 2 co-applicant can again be an NGO.*

*- **N.B. : Under this call, farmers and producers' organizations are a different category from NGOs.***

*- POs are eligible as lead applicants, as well as co-applicants. Just like any other lead applicant, to be eligible for this position, they must demonstrate significant experience in project management and coordination, as mentioned in point (1) above. In the situation where POs do not have sufficient project management experience to assume the role of lead applicant, they are encouraged to file as co-applicants within the consortium whose proposal will be submitted by another lead actor.*

- (4) If the grant is awarded, the lead applicant becomes the beneficiary identified as the coordinator in the Grant Agreement (Annex F- Special Conditions). The coordinator is the main interlocutor of Expertise France. He/she represents potential other beneficiaries and acts on their behalf. He/she designs and coordinates the implementation of the action .

### Co-applicants

Co-applicants participate in the definition and implementation of the action, and the costs they incur are eligible in the same way as those incurred by the lead applicant.

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<sup>11</sup> For example: if the leader is a non-governmental organization, he must prove that he has already collaborated with a community, a research institute, or a private sector actor on another project.

<sup>12</sup> The PRAG (2016), is available on the web Site of EuropeAid at the following address: <https://ec.europa.eu/europeaid/prag/previousVersions.do>

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Co-applicants must meet the eligibility criteria that apply to the lead applicant itself .

However, where the applicant is established in an EU member State, the coapplicant must compulsorily be established in the project implementation country.

However, in addition to the categories mentioned in 2.1.1, they may into the following categories : research institutes, private sector.

Co-applicants must sign the terms of reference in Part B, Section 4 of the Grant Application Form.

If the grant is awarded, the potential co-applicants will become the partners of the action, together with the coordinator.

### **2.1.2 Affiliated entities**

The lead applicant and its co-applicants may act with one or more affiliated entities.

**Only the following entities may be considered affiliated to the lead applicant and/or co-applicant(s) :**

Only entities structurally related to the applicants( the lead applicant or a co-applicant) in particular in capital or legal terms.

This structural link mainly covers two notions:

- (i) control, as meant by Directive 2013/34/UE on annual financial statements and related reports of certain types of enterprises :

Entities affiliated to an applicant may therefore be:

- Entities controlled directly or indirectly by the applicant (subsidiary or subsidiary of first rank, or controlled by an entity itself controlled by the applicant (sub-subsidiaries or second level subsidiaries). This is valid for other levels of control;
  - Entities directly or indirectly controlling the applicant (parent company. In the same way, it may be entities controlling a company controlling the applicant ;
  - Entities with the same level of direct or indirect level as the applicant (sister companies)
- (ii) Membership, i.e. the applicant is legally defined as e.g. a network, a federation, an association to which the affiliated entity participates or the applicant participates in the same organization (e.g. network, federation or association) than the proposed affiliated entity.

The structural link should not be limited to the action or established solely to implement it. It must exist independently of the award of the grant. This means that this link should exist before the call for proposals and remain valid once the action is completed.

#### What can not be an affiliated entity?

The following organizations cannot be considered affiliated entities to the applicant:

- Awardees of contracts launched by the grant applicant or its subcontractors; entities to whom public service is delegated or granted on behalf of an applicant ;

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- Those who receive financial support from the applicant;
- Those who regularly collaborate with an applicant on the basis of a memorandum of understanding or who share assets.

### How to verify the existence of the link with an applicant?

Affiliation resulting from a control relationship may be established in particular on the basis of the consolidated group accounts to which the applicant and the proposed affiliated entity belong.

Affiliation resulting from membership may be established in particular on the basis of the statutes (or any equivalent constitutive act) defining the applicant as a network, federation or association to which the applicant participates.

If a grant contract is awarded to applicants, their affiliated entity (ies) will neither become beneficiaries of the action nor signatories of the contract. However, they participate in the definition and implementation of the action and the costs they incur (in particular those relating to implementation contracts and financial support to third parties) may be eligible provided that they comply with the relevant rules applicable to the beneficiary (s) under the grant contract.

Affiliated entities must meet the same eligibility criteria as those applicable to the lead applicant or co-applicants. They must also sign the declaration available in part B, section 5 of the grant application form.

### **2.1.3 Associates and contractors**

The following entities are neither applicants nor affiliated entities. They do not have to sign the "co-applicant's mandate" or the "affiliated entity declaration":

#### **Associates**

Other organizations or individuals may be involved in the action. Associates do participate in the action but cannot claim any grant benefits, except for daily allowances and travel expenses. They are not held to meet the eligibility criteria mentioned in point 2.1.1. The associates must be mentioned in part B, section 6 of the grant application form, entitled "Associates participating in the action".

#### **Contractors**

Beneficiaries and their affiliated entities may award contracts. The associates or affiliated entity (ies) can not at the same time be project contractors. Contractors are subject to the procurement rules set out in Annex IV of the grant contract template.

**2.1.4 Eligible actions: for which actions can an application be submitted?**

Definition

An action includes a series of activities linked by a common goal.

Duration

The initial expected duration of an action cannot be less than 12 months nor exceed 20 months.

Areas of intervention

Three areas of intervention are opened under this call for proposals. Each project must fit into only one of these areas. However, applicants should be able to explain the potential link, particularly in terms of capitalization and indirect impacts, of their project with one or other areas.

<u>Domain 1</u>	<b>Transition to climate-smart practices in the family farms</b> <b>(Short name: FARMS)</b>
<b>Primary objective (domain 1)</b>	To promote the emergence of mitigation and adaptation practices and practices in West African family farms and farming systems.
<b>Specific objectives (domain 1)</b>	<ul style="list-style-type: none"> <li>- Identify and experiment in situ innovations that improve the resilience of family farms and farming systems while limiting GHG emissions.</li> <li>- Evaluate the expected impacts and potential of innovations, as well as the obstacles to the effective adoption of these innovations and practices.</li> <li>- Explain the advantages and disadvantages of ecosystem-based approaches.</li> <li>- Valuing and supporting the scaling up of proven experiences with appropriate strategies, approaches and tools.</li> </ul>
<b>Priority issues (domain 1)</b>	<ul style="list-style-type: none"> <li>- Evaluation of techniques and practices increasing resilience and promoting carbon storage at the scale of the production system (crop or livestock).</li> <li>- Analysis of adoption dynamics and identification of drivers and obstacles.</li> <li>- Analysis of sustainable systems of dissemination of driving techniques and practices.</li> <li>- Analysis of inclusion of adaptation dynamics and capacities at the level of the various scales of actors, including public policies and their concrete manifestation in the intermediary organizations.</li> </ul>

<b>Domain 2</b>	<b>Increase of the production capacity to the scale of terroirs</b> <b>(Short name: TERROIRS)</b>
<b>Primary objective (domain 2)</b>	Intensify, in a sustainable and ecological way, the production to the scale of terroirs, through local public policies and common assets.
<b>Specific objectives (domain 2)</b>	<ul style="list-style-type: none"> <li>- Identify and better understand how resources are used at the local scale (water, soil, crop residues, fodder, etc.) to increase their efficiency in a changing climate.</li> <li>- Sensitize local public institutions to the cost-benefit analysis of investing in common assets needed for intensification (small irrigation, composting, etc.).</li> <li>- Exploit complementarities within the territory, between actors and practices.</li> <li>- Identify and experiment techniques of restoration of degraded lands.</li> <li>- Better anticipate and understand future climate changes in West African agrarian systems, associated impacts and opportunities.</li> </ul>
<b>Priority issues (domain 3)</b>	<ul style="list-style-type: none"> <li>- Analysis of public actors' role in increasing the resilience of agricultural soils.</li> <li>- Definition of systems for measuring and monitoring agricultural adaptation strategies at the local level for national reporting.</li> <li>- Analysis of adoption dynamics and identification of drivers and obstacles.</li> <li>- Analysis at terroirs' scale of the evolution of the climatic conditions and the associated impacts.</li> <li>- Analysis of including dynamics of adaptation at the level of the local public policies and their concrete translation at the level of the intermediary organizations.</li> </ul>

<b>Domain 3</b>	<b>The emergence of robust agro-food chains in a context of climate change</b> <b>(Short name: SECTORS)</b>
<b>Primary objective principal (domain 3)</b>	Promote the emergence of agro-food chains creating value at all levels, integrating low-carbon dynamics, and removing barriers between networks of actors
<b>Specific objectives (domain 3)</b>	<ul style="list-style-type: none"> <li>- Identify and experiment in situ organizational and / or technical innovations that can (i) strengthen and make more resilient, equitable and inclusive agro-food sectors, while limiting GHG emissions and (ii) create sustainable jobs and wealth at the local level (territories, national and regional).</li> <li>- Create a “climate”added value (adaptation and mitigation) on sector development projects.</li> <li>- Assess the expected impacts and potential of innovations and practices, as well as the obstacles to the effective adoption of these innovations and practices.</li> <li>- Evaluate the benefit, on the quality of the sectors, of practices or innovations leading to decompartmentalization of the types of actors of the territory.</li> <li>- Establish and strengthen advocacy on the promotion of resilient agro-food sectors that create jobs and wealth.</li> </ul>
<b>Priority issues (domain 3)</b>	<ul style="list-style-type: none"> <li>- Evaluation of techniques and practices that increase resilience and limit GHG emissions at the sector level (taking into account the possible interactions of the different groups of actors in the territory).</li> <li>- Analysis of the impact of different technologies of access to clean and sustainable energy on the resilience of agri-food chains.</li> <li>- Fine toothcom evaluation of the added value generated by removing barriers between actors in the implementation of innovations in the sectors.</li> </ul>

#### Geographic coverage

Actions must be implemented in one of the following countries:; **Cape Verde, Gambia, Ghana, Guinea, Guinea-Bissau, Liberia, Nigeria, Sierra Leone..**

Each project must only concern one country. To respect a principle of geographical equity, consistent with the ECOWAS regional mandate, the objective of this call for proposals is to obtain **at least one selected project per country**. The selection process described in section 2.3 below explains the steps and procedures that will be implemented to maximize the achievement of this goal.

The intervention area of the project must be of an appropriate and realistic size to ensure the achievement of the expected results, particularly in view of the choice of domain; the choice of this territory must be duly justified in the context of this call for project proposals.

### Types of action

#### **Types of action eligible for funding under this call for proposals:**

- Actions to develop systems for the rehabilitation of family farmland based on ecosystems;
- Actions to set up early warning systems in relation to climatic hazards, in order to prevent impacts (rainfall, drought, etc.);
- Actions to deploy innovative training methods of producers and breeders;
- Actions to develop and test innovative materials (production, processing, storage);
- Actions to analyze the cost-benefits of investing in community assets needed for intensification (small irrigation, composting, etc.);
- Actions to develop clean and sustainable energy to encourage the emergence of agro-food sectors (for example in terms of storage and processing), particularly through investment strategies in renewable energies;
- Actions to develop sectors of excellence and / or certified, respectful of the environment, low in carbon and resilient;
- Lobbying and communication actions to promote / defend local and regional sectors;
- Actions to support the emergence, reinforcement of governance frameworks for resilient, equitable and inclusive sectors;
- Actions to scale up innovative climate-smart agricultural practices already tested in the territory (control plots) and documented;
- Actions to organize local productive systems.

#### **The following types of action are not eligible:**

- Actions consisting solely or mainly of sponsoring the participation of individuals in workshops, seminars, conferences and congresses;
- Actions consisting solely or mainly of funding individual scholarships for studies or training.
- Financial support to third parties<sup>13</sup> Applicants cannot propose to support third parties financially in any manner.

### Visibility

Applicants must take all necessary measures to ensure the visibility of funding from the European Union. Actions financed wholly or partly by this call for proposals must as far as possible include information and communication activities aimed at making all or part of the public aware of the reasons for the action, and on the grounds of the aid implemented by Expertise France under the aegis of ECOWAS with the financing of the European Union in the country or region concerned.

The visibility of ECOWAS as a benchmark institutional player in the project must therefore be guaranteed. As such, project proposals must include proposals of strategies to disseminate capitalization supports concerning:

- the impact of the proposed innovations (in terms of number and quality of beneficiaries)
- the adoption and ownership by the beneficiaries of innovations proposed
- the areas impacted by the proposed measures

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<sup>13</sup> These third parties are not affiliated entities, partners or contractors.

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Applicants must also clearly describe how they will ensure the visibility of the actions throughout the implementation period and the post-project period.

Applicants must also respect the principles and rules of visibility of the communication and visibility guide for external actions financed by the European Union<sup>14</sup>.

### Capitalization

Capitalizing on the achievements and lessons learned from successes and failures is at the heart of this call for proposals to facilitate exchanges at local, national and regional level. These exchanges will be the necessary material for potential replication across the region to disseminate innovation, but also to policy makers to change public policies.

As such, **the applicants will have to justify the allocation of 15% to 20% of the eligible costs of the project to the activities of capitalization and dissemination of results, including monitoring and evaluation (and therefore the costs related to the baseline study and the final evaluation)**. Applicants will have to explain:

- the objectives of the capitalization process of the project,
- the mechanism and the method (s) envisaged for collecting and preserving the different types of information,
- the description of the information to be disseminated,
- the targets according to the nature of the information,
- the nature of the activities intended to disseminate the capitalized information and the methods of access to this information,
- the means that will be implemented to achieve the objectives,
- the possible major events envisaged in connection with the local, national, regional or international context.

Human Resources costs dedicated to monitoring-evaluation, production of capitalisation supports and data collection will be taken into account in the calculation of the percentage of total eligible monitoring-evaluation/capitalisation costs.

The costs must appear in the appropriate budget headings, and the title will specify that they are linked to monitoring-evaluation / capitalization.

Applicants will need to consider, in their capitalization strategies, methods for sharing results and lessons learned that can be used in other areas of intervention, to percolate knowledge beyond their scale of intervention, and to promote dialogue between scales and between themes.

A communication and capitalization plan will therefore be developed at the beginning of the project according to the communication and capitalization guidelines that will be annexed to the grant contract through the grant management guide.

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<sup>14</sup> The communication and visibility guide for external actions financed by the European Union is available on via the link: [https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/visibility\\_requirements-near\\_french.pdf](https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/visibility_requirements-near_french.pdf)

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### Monitoring and evaluation

Each project must have an data collection mechanism for monitoring and evaluation that makes it possible, in particular, to monitor progress in the implementation of the planned actions, and the evolution of the indicators, by distinguishing the indicators based on the means and techniques (eg surfaces affected by the activities, rate of recovery or survival of trees planted or resulting from assisted regeneration, changes in the use of chemical inputs, efficiency of experimental and dissemination methods, etc.) and indicators based on effects and impacts (eg rate of increase in yields, impact on income and nutritional status of households, etc.). The system to be put in place must provide evidence-based quality reporting for data use and learning throughout the project. It should include semi-annual and annual technical reports **focused on effects and impacts much more than activities and products.**

In addition to the monitoring-evaluation and impact indicators specific to each project, **mandatory indicators common to all selected projects will be specified at the time of contracting with the applicant.** The applicant will, however, have to demonstrate its capacity and describe the approach to carry out data collection for monitoring and evaluation in its detailed proposal. **For information purposes, the following two indicators are mandatory: number of beneficiary households and number of individual beneficiary producers.** Other mandatory and common indicators may concern: agricultural areas under innovative practices, level of local ownership (CSO, communities ...) of innovation, level of use of knowledge generated by actions, number of techniques developed in the field , level of agricultural production of managed plots, number of farmers adopting CSA<sup>15</sup> techniques, number of farmers using techniques that mitigate the effects of CC, number of direct beneficiaries of implemented projects, etc.

**A baseline study, at the beginning, and an external evaluation at the end of the project should be planned and included in the project budget for which funding is requested.**

#### **2.1.5 Eligibility of costs: which costs can be included?**

Only "eligible costs" can be covered by a grant. The types of eligible and ineligible costs are listed below. The budget is both an estimate of costs and an overall ceiling for 'eligible costs'.

The reimbursement of eligible costs is based on the costs actually borne by the beneficiary (ies) and the affiliated entity (ies).

#### Eligible direct costs

To be eligible for the purposes of this call for proposals, the costs must comply with the conditions laid down in Article 14 of the general conditions of the grant contract template (see Annex F of these guidelines).

Applicants (and, where applicable, their affiliated entities) agree that the expenditure verification (s) referred to in Article 15.7 of the General Conditions of the Grant Contract Template (see Annex F of these Guidelines) will be carried out by Expertise France or any external organization authorized by Expertise France.

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<sup>15</sup> Climate smart agriculture

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The salary costs of local government staff may be eligible as long as they are related to the costs of the activities that the administration in question would not support if the action was not undertaken.

**By way of derogation from the provisions of Articles 14.2, 14.3 and 14.4 of the general conditions of the grant contract template (see Annex F of these Guidelines), simplified cost options are not permitted under this Call for Proposals.**

### Contingency reserve

The budget may include a contingency reserve of up to 5% of the estimated eligible direct costs. It may only be used with the **prior written authorization** of Expertise France.

### Eligible indirect costs

The indirect costs incurred during the implementation of the action may be eligible for lump sum financing, but the total amount may not exceed 5% of the total estimated eligible direct costs. Indirect costs are eligible inasmuch as they do not include costs accounted in another budget heading in the grant contract template. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the fixed rate has been fixed in the special conditions of the grant contract, no supporting document shall be provided by the beneficiary.

If one of the applicants or one of the affiliated entities receives an operating grant financed by Expertise France or the EU, it cannot include indirect costs in the costs that it assumes in the proposed budget for the action.

### Contributions in kind

"Contributions in kind" means goods or services provided by a third party free of charge to beneficiaries or affiliated entities. Contributions in kind do not involve any expenditure for beneficiaries or affiliated entities and are not eligible costs.

Expertise France may accept co-financing in kind if it deems it necessary or appropriate. In such cases, the value of these contributions may not exceed:

- a) the costs actually incurred and duly supported by accounting documents;
- b) the generally accepted costs on the relevant reference market.

Real estate type contributions should be excluded from the calculation of the amount of co-financing. Contributions in kind must comply with national tax and social security rules.

If co-financing in kind is proposed, it should appear in Annex B (Worksheet 3) of the Guidelines for Applicants on the expected sources of funding for the action. The same amount must be entered in the budget (worksheet 1- Heading 12 of the budget).

**In any case, co-financing in kind may not exceed 5% of the total costs accepted.**

### Ineligible costs

The following costs are not eligible:

- debts and the burden of debt (interest);
- provisions for possible future losses or debts;
- costs declared by the beneficiary (ies) and financed by another action or another work program receiving a grant from Expertise France or the European Union (including the EDF);

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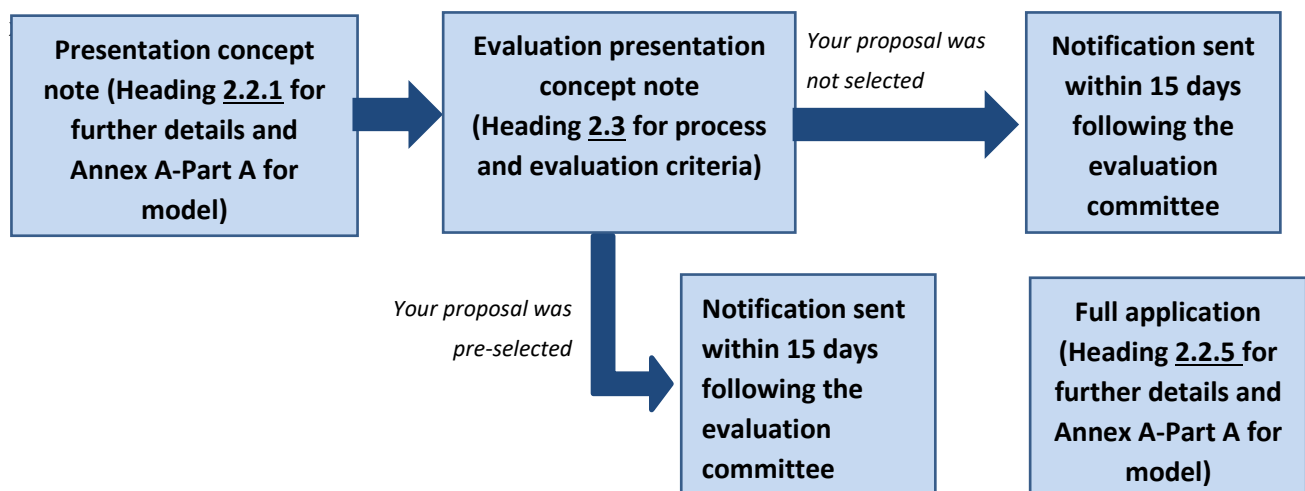
- purchases of land or buildings, except where such purchases are essential for the direct implementation of the action, in which case their ownership must be transferred in accordance with Article 7.5 of the general conditions of the model grant contract, at the latest at the end of the action;
- exchange losses.

### Costs related to audits

**One or more financial audits of the actions will be carried out during the implementation of the projects. The costs relating to these interventions should therefore not be included in the project promoters budget.**

## 2.2 Submission of application and procedures

to follow



### 2.2.1 Content of the concept note

Applications must be submitted in accordance with the instructions on the concept note in the grant application form annexed to these guidelines (Annex A).

Applicants must submit their application in English, French, or Portuguese.

Please note the following:

1. In the Concept Note, **lead applicants must provide only an estimate of the grant requested and an indicative percentage of that contribution in relation to the eligible costs of the action.** A detailed budget should only be submitted by lead applicants invited to submit a full application in the second phase.
2. The elements defined in the concept note cannot be modified in the complete application. **The contribution of the project GCCA+AO may not vary by more than 20% compared to the initial estimate.** Lead applicants are free to adjust the percentage of co-financing required by respecting the minimum and maximum amounts and co-financing percentages indicated in point 1.3 of these guidelines. **The lead applicant may only replace a co-applicant or an affiliated entity in duly**

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**justified cases (eg bankruptcy of the original co-applicant or affiliated entity).** In this case, the new co-applicant / affiliate must be similar in nature to the co-applicant / affiliate. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have occurred after the submission of the concept note and require such adaptation (risk of non-performance of the action). In these cases, the duration must remain within the limits set out in the Guidelines for Applicants. An explanation / rationale for the replacement / adjustment will be provided in an accompanying letter or email.

Applicants' own contributions may be replaced at any time by contributions from other donors.

3. Only the concept note will be evaluated. It is therefore very important that this document contains ALL relevant information about the action. No additional annexes should be sent. Any major errors or inconsistencies in the instructions for the Concept Note may result in the rejection of the Concept Note.

Expertise France reserves the right to ask for clarification when the information provided does not allow it to make an objective evaluation.

Concept Notes in manuscript format will not be accepted.

### **2.2.2 Where and how to send the concept note?**

The Concept Note, the Checklist<sup>16</sup> and the Lead Applicant Declaration (available in Part A, Sections 2 and 3 of the Grant Application Form) must be submitted in **digital format only** to the following address:

[app2.gccaplus.ao@expertisefrance.fr](mailto:app2.gccaplus.ao@expertisefrance.fr)

The electronic file must be **exactly the same** as the paper version that will be required later in the process.

**Please note, the size of the email must not exceed 5MB. We recommend sending the application in a single email with all documents compressed under the same zip file.**

**If necessary, you can send the documents in several emails in a row, making sure to report the total number of emails. However, download links are not allowed.**

**The email must include:**

- The subject of the email must mention: "CN Ref: GCCA + AO-2020-APP02 + name of the leader"
- the content of the message will mention the **reference number and the full title of the call for proposals**,
- the country concerned by the action,
- the area of intervention (1, 2 or 3),
- the full name and address of the lead applicant

An acknowledgment of receipt will be sent to any applicant who has submitted their Concept Note on time.

Physical files may be required later, and they must be sent via postal dispatch or hand delivered to the address shown below.

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<sup>16</sup> Please note that the concept note / full application will not be rejected solely because the lead applicant did not submit the checklist or because the information on this list is incorrect.

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### Address for postal or hand delivery

#### **UCP GCCA+ Afrique de l'Ouest**

C/O Agence Régionale pour l'Agriculture et l'Alimentation (ARAA)  
83 rue de la Pâture – Quartier Super Taco  
Lomé – 01 BP 4817  
TOGO

Concept Notes sent after the deadlines or by other means (eg by fax or physical delivery) or delivered to other addresses will be rejected.

**Lead applicants must ensure that their concept note is complete by using the checklist (Part A, Section 2 of the grant application form). Incomplete concept notes may be rejected.**

### **2.2.3 Deadline for submission of the concept note**

The cut-off date and time for the submission of Concept Notes is indicated on the cover page of these guidelines as evidenced by the date of dispatch, the postmark or the date of the acknowledgment of receipt or, in the case of hand-deliveries, the date and time of receipt evidenced by the signed and dated receipt. Any concept note submitted after the deadline will be rejected.

### **2.2.4 Further information on the Concept Note**

An information session on this call for proposals will be organized in a dematerialized manner, in the form of a webinar, on 28 May at 10:00 UTC. More precise information relating to the information session will be posted at least one week in advance on the Expertise France website via the link <https://www.expertisefrance.fr/offer-detail?id=798128> and the ARAA website via the link <http://www.araa.org/en/call-for-proposal/notice-call-project-proposals-n%C2%B02-gccaa-2020>.

Applicants may send their questions by e-mail, at least 21 days before the deadline for submission of Concept Notes, to the address below, clearly indicating the reference of the call for proposals:

email address: [gccaplus.ao@expertisefrance.fr](mailto:gccaplus.ao@expertisefrance.fr) /Please note this address is different from that for submitting concept notes. Any issue sent to the wrong address will not be answered.

Expertise France is not obliged to provide clarification on questions received after this date.

They will be answered no later than 11 days before the deadline for submission of Concept Notes.

In order to ensure the equal treatment of applicants, Expertise France cannot give prior notice on the eligibility of lead applicants, co-applicants, affiliated entity (ies), of an action or specific activities.

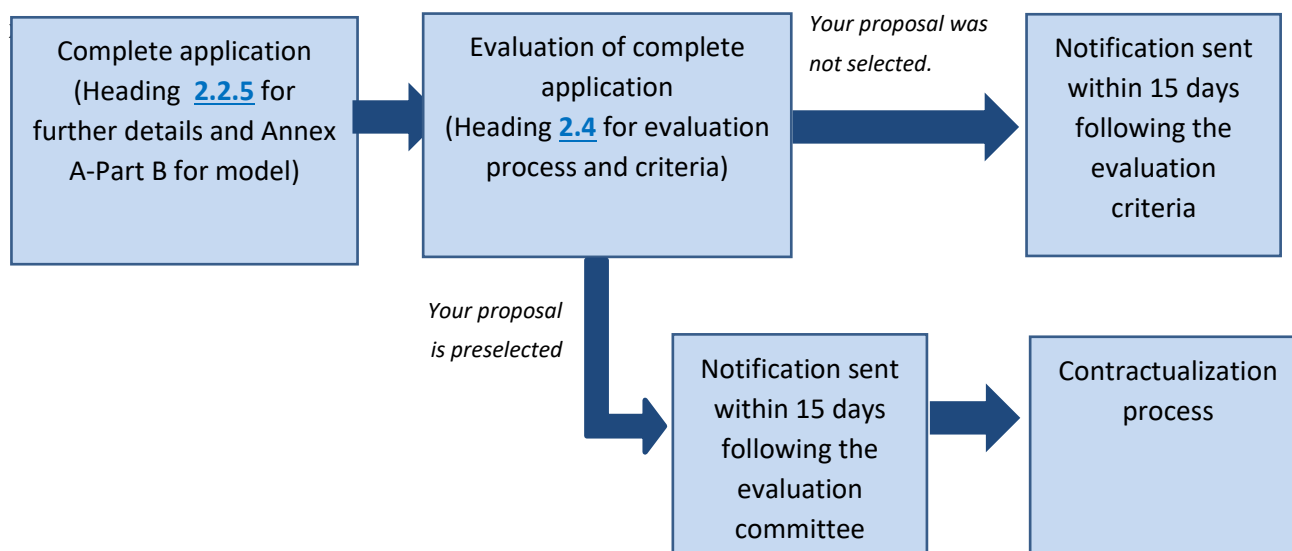
No individual response will be given to the questions asked. All questions and their answers as well as other important information communicated to applicants during the evaluation process will be published in due course on the Expertise France website via the link <https://www.expertisefrance.fr/offer-detail?id=798128> and the ARAA website via the link <http://www.araa.org/en/call-for-proposal/notice-call-project-proposals-n%C2%B02-gccaa-2020>. It is therefore recommended to consult regularly these Internet sites whose addresses appear above in order to be informed of the published questions and answers.

### **2.2.5 Complete applications**

Lead applicants invited to submit a complete application following the pre-selection of their Concept Notes must do so using Part B of the Grant Application Form annexed to these Guidelines (Annex A). Lead

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applicants must adhere strictly to the format of the grant application form and complete the paragraphs and pages in order.



**The elements set out in the concept note cannot be changed by the lead applicant in the full application. The contribution of Expertise France may not deviate by more than 20% from the initial estimate, even if lead applicants are free to adjust the percentage of co-financing required as far as the minimum and maximum amounts as well as the co-financing percentages, as indicated in section 1.3 of these guidelines, are respected. The lead applicant may only replace a co-applicant or an affiliated entity in duly justified cases (eg bankruptcy of the original co-applicant or affiliated entity). In this case, the new co-applicant / affiliate must be similar in nature to the co-applicant / affiliate. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have occurred after the submission of the concept note and require such adaptation (risk of non-performance of the action). In these cases, the duration must remain within the limits set out in the Guidelines for Applicants. An explanation / rationale for the replacement / adjustment will be provided in an accompanying letter or email.**

Lead applicants must submit their full applications in the same language as their concept note.

Lead applicants must complete the full application form as carefully and clearly as possible to facilitate its evaluation.

Any error in the points mentioned in the checklist (Part B, section 7, of the grant application form) or major inconsistency in the complete application (for example, inconsistency of the amounts in the budget spreadsheets) may lead to immediate rejection of the application.

Clarifications will only be requested when the information provided is not clear and therefore prevent Expertise France from making an objective assessment.

Handwritten requests will not be accepted.

It should be noted that only the full application form and the published annexes that must be completed (budget, logical framework) will be sent to the evaluators (and, where appropriate, to the assessors). It is

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therefore very important that these documents contain ALL relevant information about the action. **No additional annexes should be sent.**

### 2.2.6 *Where and how to send complete applications?*

Complete applications (Complete Application Form, Budget, Logical Framework and Lead Applicant Declaration) must be submitted in a sealed envelope, sent by registered mail or private express courier or delivered by hand (signed and dated acknowledgment of receipt will be issued to the bearer in the latter case), at the address indicated below:

[app2.gccaplus.ao@expertisefrance.fr](mailto:app2.gccaplus.ao@expertisefrance.fr)

In the event that a full application is required, the electronic file must **be exactly the same** as the paper version that will be required later in the process.

**Please note, the size of the email must not exceed 5MB. We recommend sending the application in a single email with all documents compressed under the same zip folder.**

**If necessary, you can send the documents in several emails in a row, making sure to report the total number of emails. However, download links are not allowed.**

Physical files may be required later, and must be sent by post or hand delivered to the official physical address indicated above.

Requests sent by other means (for example by fax) or delivered to other addresses will be rejected.

The complete application form, budget and logical framework must be provided in electronic format in a single file (in other words, the complete application must not be divided into different files). The electronic file must be **exactly the same** as the paper version.

The checklist (part B, section 7, of the grant application form) and the declaration of the lead applicant (part B, section 8, of the grant application form) must be attached separately and attached to the email.

- The subject of the email must mention: **"NC Ref: GCCA + AO-2020-APP02 + name of the leader"**
- the content of the message will mention **the reference number and the full title of the call for proposals**,
- the country concerned by the action,
- the area of intervention (1, 2 or 3),
- the full name and address of the lead applicant.

**Applicants must ensure that their application is complete by using the checklist (Part B, Section 7 of the grant application form). Incomplete applications may be rejected.**

### 2.2.7 *Deadline for submission of complete applications*

The deadline for submitting full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected.

### 2.2.8 *Other information on complete applications*

Applicants may send their questions by e-mail no later than 21 days before the deadline for submitting full applications to the address below, clearly indicating the reference of the call for proposals:

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email address: [gccaplus.ao@expertisefrance.fr](mailto:gccaplus.ao@expertisefrance.fr) / **Please note : this address is different from that for submitting complete applications; any issues sent to the wrong address will not be answered.**

Expertise France is under no obligation to provide clarification on questions received after this date.

They will be answered no later than 11 days before the deadline for submitting complete applications.

Another dematerialized information session in the form of a webinar will be organized again for this step. The date and specific information will be communicated in the letter sent to the lead applicants whose application has been pre-selected.

In order to ensure equal treatment of applicants, Expertise France may not give prior notice on the eligibility of lead applicants, co-applicants, affiliated entity (ies) or an action.

No individual answers will be given to the questions. All questions and answers as well as other important information communicated to applicants during the evaluation process will be published on the Expertise France website via the link <https://www.expertisefrance.fr/offer-detail?id=798128> and the ARAA website via the link <http://www.araa.org/en/call-for-proposal/notice-call-project-proposals-n%C2%B02-gccao-2020> if applicable. It is therefore recommended to regularly consult the websites listed above to be informed of published questions and answers.

### 2.3 Assessment and selection of applications

Applications will be examined and evaluated by an evaluation committee made up of a non-voting president, a non-voting secretary, an odd number (at least three) of voting members (evaluators) and possible observers (non-voting).

As part of this call for project proposals, the committee is composed as follows:

- ♣ a representative of the legal affairs department of Expertise France who chairs the committee and controls the regularity of the procedure initiated and the respect of the principles of public expenditure in accordance with PRAG regulations;
- ♣ a representative of the Project Coordination Unit (PCU) who provides the secretariat;
- ♣ Seven evaluators representing ECOWAS structures (RAAF, DADR and DE), CILSS and Expertise France

All requests will be assessed according to the steps and criteria described below.

**If the examination of the application reveals that the proposed action does not fulfill the eligibility criteria described in [2.1.4](#), the application will be rejected on that sole basis.**

### **STEP 1: OPENING, ADMINISTRATIVE CHECKING AND VERIFICATION OF THE ELIGIBILITY OF APPLICANTS AND AFFILIATED ENTITY (IES)**

#### **Opening and administrative verification**

At the stage of opening and administrative check, the following will be examined:

- Respect of the date and time limits. Otherwise, the request will be automatically rejected.
- Compliance with the concept note for all the criteria specified in the checklist in Part A, Section 2 of the grant application form. This examination also includes an assessment of the eligibility of the

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action. If any of the information requested is missing or incorrect, the application may be rejected on that **sole basis** and not be assessed.

### Verification of eligibility

Eligibility of applicants and affiliated entities will be verified on the basis of the criteria set out in Part [2.1](#) of these Guidelines and recalled in the Grant Application Form (Annex A of these Guidelines).

### **STEP 2: EVALUATION OF THE CONCEPT NOTES PRESENTATION**

The Concept Notes satisfying this control will be evaluated with regard to the relevance and design of the proposed action.

The Concept Notes will be given an overall score of 85 according to the breakdown in the evaluation grid below. The evaluation will also check compliance with the instructions on how to complete the Concept Note, which are included in Part A of the grant application form.

The evaluation criteria are divided by headings and sub-headings. Each sub-heading is rated from 1 to 5, with 1 being very poor and 5 being very good.

<b>1. Relevance of the action</b>	Sub-score	<b>35</b>
1.1 To what extent is the proposal relevant to the objectives and priorities of the call for proposals?	5	
1.2 Is the innovative nature of the proposal relevant to the themes chosen? Is it well presented?	5	
1.3 To what extent is the proposal relevant to the particular needs of the country of intervention, particularly in relation to national strategic priorities on climate?	5	
1.4 How is the project's link with climate change and its contribution to adaptation and / or mitigation clarified and justified (climate data, prospective elements, explanation of the theory of change brought about by the project, etc.)?	5(x2)*	
1.5 To what extent can the project have bridges, both in terms of indirect impacts and capitalization, with other areas of intervention?	5	
1.6 To what extent are the parties involved (end beneficiaries, target groups) clearly defined and strategically selected? Have their needs been clearly defined and are they adequately addressed in the proposal?	5	
<b>2. Design of the action</b>	Sub-score	<b>30</b>
2.1 Is the action feasible and logical in relation to the objectives and expected results, particularly with regard to the territory under consideration for implementation?	5(x2)*	
2.2 Does the proposal contain specific elements promoting gender equality and targeting to reduce the vulnerability of the most sensible populations?	5	

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2.3 To what extent is the action showing potential for sustainability or even replicability	5(x2)*	
2.4 Does the method adopted to promote the dissemination of lessons learned and results acquired during the action seem applicable?	5	
<b>3. Management of the action</b>	Sub-score	<b>20</b>
3.1 Has the tenderer demonstrated sufficient experience in supporting farmers / rural people in the fight against climate change, multi-stakeholder project implementation (coordination, financial management and monitoring / evaluation) and capitalization?	5(x2)*	
3.2 Is the proposed partnership rationale for implementing the action relevant and likely to help achieve the expected results? NB: multi-stakeholder partnerships composed of several types of actors are mandatory (see section 2.1.1 of the guidelines).	5(x2)	
<b>TOTAL SCORE</b>		<b>85</b>

\* These scores are multiplied by 2 because of their importance.

On receipt of the concept notes, these will be broken down by country of intervention.

Once all the concept notes have been evaluated, for each country a list ranking the proposed actions according to their total score will be established.

In the first place, in each of these lists ( 8 lists in total, therefore), the 3 best projects, at maximum, will be pre-selected, insofar as these projects reach a total score of at least 65 points.

If one of the areas of intervention is under-represented (less or equal to 5 files), then the evaluation committee will reserve the right to recoup NSPs in this area, provided that these have received a score of at least 65 points.

If in any country , no project was submitted or no project reached the 65 points, no project will selected.

After the evaluation of the concept notes, Expertise France will send a letter to all applicants. Through this letter, the pre-selected applicants will be invited to submit a complete application, and will be informed of the reference number attributed to them, while the unselected applicants will be informed of the end of the process concerning.

The results will be posted on the Expertise France website via the link <https://www.expertisefrance.fr/offer-detail?id=798128> and the ARAA website via the link <http://www.araa.org/en/call-for-proposal/notice-call-project-proposals-n%C2%B02-gccaao-2020>.

### **STEP 3: OPENING, ADMINISTRATIVE CHECKING AND VERIFICATION OF ELIGIBILITY**

#### **Opening and administrative verification**

In the first place, the following points should be assessed:

- Respect of the submission deadline. Otherwise, the request will be automatically rejected.
- Full application for all the criteria specified in the checklist (Part B, Section 7 of the grant application form). This examination also includes an assessment of the eligibility of the action. If any of the information requested is missing or incomplete, the application may be rejected on this **sole** basis and will not be evaluated.

Compliance between the Lead Applicant's Declaration (Part B, Section 8 of the Grant Application Form) and the supporting documents provided by the Lead Applicant will be verified. Any missing supporting document or any incoherence between the declaration of the lead applicant and the supporting documents may lead on this sole basis to the rejection of the application.

#### **Verification of eligibility**

Eligibility of applicants and affiliated entities will be verified on the basis of the criteria set out in Part [2.1](#) of these Guidelines and recalled in the Grant Application Form (Annex A of these Guidelines).

### **STEP 4: EVALUATION OF COMPLETE APPLICATIONS**

Full applications satisfying this control will then be assessed against their quality, including the proposed budget and the capacity of the applicants and the affiliated entity (ies), based on the evaluation criteria of the evaluation grid reproduced below. The evaluation criteria are broken down into selection criteria and award criteria.

The **selection criteria** help to assess the operational capacity of the applicant (s) and affiliated entity (ies) and the financial capacity of the lead applicant and are used to verify that they:

- have stable and sufficient sources of funding to maintain their activity throughout the proposed action and, if necessary, to participate in its funding (this applies only to lead applicants, it is recommended at this stage to provide any document justifying this criterion);
- have the necessary expertise, skills and networks to implement the action.

The **award criteria** help to assess the quality of applications against the objectives and priorities set in the guidelines, and to award grants to projects that maximize the overall effectiveness of the call for proposals. They help to select the requests that ensure Expertise France of compliance with its objectives and priorities. They relate to the relevance of the action and its coherence with the objectives of the call for proposals, the quality, the expected effect, the sustainability of the action as well as its effectiveness in relation to the costs.

#### *Rating:*

The evaluation criteria are subdivided into headings and sub-headings. Each sub-heading is rated from 1 to 5, with 1 being very poor and 5 being very good.

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**Evaluation grid**

Item	Maximum score
<b>1. Relevance of the action</b>	<b>35</b>
Carry over of score obtained for the concept note	
<b>2, Financial and operational capacity</b> <i>If the total score for heading 1 (Financial and operational capacity) is less than 12 points, the application will be rejected. Similarly, the application will be rejected if at least one of the sub-headings of section 2 receives a score of 1 point.</i>	<b>25</b>
2.1 Does the applicant have sufficient experience in managing multi-stakeholder projects? (2/3 of mark) What of the other consortium members (1/3 of the mark)?	6
22 Does the applicant have sufficient technical expertise in the field of family farming and climate?(2/3 of mark). What about the affiliated entities? (1/3 of mark)	6
23 Does the applicant participate in international, national or umbrella networks for the dissemination of results and action? (2/3 of mark). What about the affiliated entities? (1/3 of mark)	3
24 Does the applicant have sufficient management capacity? (including staff, equipment and ability to manage the budget for the action).	5
25 Does the lead applicant have stable and sufficient sources of funding?	5
<b>3. Effectiveness and feasibility of the action</b>	<b>35</b>
3.1 Has the link between the issues, the proposed activities, the needs of the territory and the beneficiaries considered been adequately argued?	4
3.2 Is the territory (limts,surface, population) considered consistent with the objectives and expected results of the action?	4
3.3 Is the proposed action plan clear, feasible and logical in relation to the objectives and expected results?	5
3.4 Is the level of involvement and participation in the action of the applicant and the affiliated entities (co-applicants) satisfactory?	5
3.5 Do the proposed activities contain specific elements promoting gender equality and targeting the reduction of the vulnerability of the most vulnerable populations?	5
3.6 Are the approach and the capitalization system selected clearly explained? Are they	5

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likely to generate impacts on a larger scale and in the longer term? <i>NB: projects with a proven capitalization dimension at regional level will benefit from the maximum score.</i>	
3.7 Is the proposed monitoring and evaluation mechanism satisfactory? Does the proposal contain objectively verifiable indicators for evaluating the results of the action, including for assessing the differentiated impacts according to the level of vulnerabilities of the target groups? Is a baseline and final evaluation planned?	5
3.8 Does the proposal have a good communication and visibility strategy for the project and the lessor?	2
<b>4. Sustainability and replicability of the action</b>	<b>20</b>
4.1 Is the action likely to have a tangible impact on the target groups?	4
3.1 4.2 Is the proposal likely to have multiplier effects at national or regional level? (including probability of reproduction, extension and sharing of information)	4
4.3 Besides its impact on the fight against climate change, does the proposal pay special attention to impacted natural resources and possible risks of the action?	3
4.4 Are the possibilities and modalities for continuing the actions undertaken and the results obtained by the project at the end of the funding sufficiently explained? Are the expected results of the proposed action sustainable? - from a financial point of view (maintenance costs, continuing activities after the financing?) - from an institutional point of view (will there be structures allowing activities to continue at the end of the action, will there be "ownership" of the results of the action at the level of local or national institutions?) - at the political level (if any) (what will be the structural impact of the action - for example, will it lead to the revision of climate commitments, better laws, codes of conduct, methods, etc.? ) 3 points	9
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities adequately and accurately reflected in the budget?	5
5.2 Is the ratio of the estimated costs to the expected results satisfactory?	10
<b>Maximum total score</b>	<b>130</b>

**Provisory selection**

After the evaluation, a table will be drawn up, summing up all the applications filed by country according to their score.

For each country, the application with the highest score will be provisionally selected, provided it has a minimum score of 80 points.

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A reserve list including non selected complete proposals will also be established , provide they achieved the minimum score of 80 points. This reserve list will remain valid for twelve months following the decision of the final evaluation committee and validation of the final evaluation report. This list can be used upon unanimous decision of the evaluation committee during this validity period, provided that funds are available.

Should it the case that in any country no project was submitted or no project scored the 80 points, then no project will be selected.

It should be noted that the administrative verification of eligibility will be carried out on the basis of the supporting documents requested (see point [2.4](#)). It will only be carried out for applications that have been provisionally selected.

### **2.4 Verification of eligibility and submission of supporting documents for provisionally selected applications**

A lead applicant whose application has been provisionally selected or put on the reserve list will be informed in writing by Expertise France. It will be requested to provide the following documents in order to allow Expertise France to verify its eligibility and, if applicable, that of the co-applicant (s) and their affiliated entity (s). )<sup>17</sup>:

1. The statutes or articles of association of the lead applicant, any co-applicants and any affiliated entities<sup>18</sup>. When Expertise France has recognized the eligibility of the lead applicant, co-applicants or affiliated entities for another call for proposals on the same budget line in the 2 years preceding the deadline for receipt of applications, a copy of the document proving their eligibility in a previous call (for example, a copy of the particular terms and conditions of a grant contract awarded during the reference period) should be submitted rather than the statutes, unless the legal status has changed in the meantime<sup>19</sup>. This obligation does not apply to international organizations that have signed a framework agreement with the European Commission.
2. A copy of the financial statements of the last 3 years of the lead applicant (income statement and balance sheet for the last financial year ended)<sup>20</sup>. Potential co-applicants or affiliated entities are not required to submit a copy of their financial statements.
3. The legal entity form (see Annex D of these guidelines) duly completed and signed by each applicant (ie the lead applicant and any co-applicants) together with the supporting documents requested.

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<sup>17</sup> No supporting documents will be required for grant applications not exceeding EUR 60 000.

<sup>18</sup> Where the lead applicant, the co-applicants and / or affiliated entity (ies) is / are a public entity (ies) created by law, a copy of the said law must be provided.

<sup>19</sup> To be inserted only when the eligibility conditions have not changed from one call for proposals to the other.

<sup>20</sup> This obligation does not apply to natural persons who have received a scholarship or who are most in need of direct assistance, nor to public entities or international organizations. This does not apply when the accounts are in practice the same documents as the external audit report already provided under point 2.4.2.

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4. A financial identification form of the lead applicant (not co-applicants) in accordance with the template attached as Annex E to these guidelines, certified by the bank to which the payment is to be made. This bank must be located in the country where the lead applicant is located.

The documents must be provided in the form of originals, photocopies or scanned versions (showing the legal stamps, signatures and dates) of these originals.

Where such documents are not in French, English or Portuguese, a translation into one of the language (s) of the call for proposals from the relevant parts of the document proving the eligibility of the lead applicant and, if there is co-applicants and their affiliated entity (ies) must be included for the analysis of the application.

Where these documents are written in an official language of the European Union other than the one (s) of the call for proposals, it is strongly recommended, in order to facilitate the evaluation, to provide a translation into one of the languages of the European Union the relevant parts of the documents proving the eligibility of the lead applicant and, if applicable, the co-applicants and their affiliated entity (ies).

If the supporting documents mentioned above are not provided before the deadline fixed in the request for submission of supporting documents sent by Expertise France to the lead applicant, the application may be rejected.

After verifying the supporting documents, the evaluation committee will make a final recommendation to the Chief Executive Officer of Expertise France or his delegate, who will decide on the awarding of the grants.

NB: If Expertise France is not convinced by the strength, the solidity and the guarantee offered by legal or capital link between an applicant and its affiliated entities, it may require the presentation of missing documents to enable them to be converted into co-applicants. If all the missing documents are submitted, and provided that all eligibility conditions are fulfilled, the entity becomes co-applicant for all purposes. The lead applicant must submit the amended application form accordingly.

## 2.5 Notification of the decision

### 2.5.1 Content of the decision

The Lead Applicants will be notified in writing of the decision made by Expertise France regarding their request and, in case of rejection, the reasons for this negative decision.

If an applicant feels wronged by an error or irregularity in the award procedure, it can file a complaint with the Registry of the Administrative Court of Paris, 7 rue de Jouy, 75004 Paris - <http://paris.tribunal-administratif.fr/>.

### 2.5.2 Indicative timetable

	DATE	HOUR
1. Information meeting (if necessary)/ Webinar	May 28th 2020	14h00 UTC
2. Deadline for clarification requests to Expertise France	June 7th 2020	23h59 UTC
3. Last date on which clarification is given by	June 17th 2020	18h00 UTC

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<b>Expertise France</b>		
<b>4. Deadline for submission of Concept Notes</b>	June 28th 2020	23h59 UTC
<b>5. Information for lead applicants on opening, administrative checks, eligibility (step 1) and evaluation of the concept note (step 2)</b>	July 24th 2020	18h00 UTC
<b>6. Invitations to submit the complete application (after verification of eligibility)</b>	August 27th 2020	-
<b>7. Information meeting</b>	18th September 2020	9h00 UTC
<b>8. Deadline for clarification requests to Expertise France</b>	Group 1 – 21st September Group 2 – 23st September	23h59 UTC
<b>9. Last date on which clarification is given by Expertise France</b>	03rd October 2020	18h00 UTC
<b>10. Deadline for submission of the complete application</b>	Group 1 – 12th October 2020 Group 2 – 14th October 2020	23h59 UTC
<b>11. Notification of the award</b>	8th December 2020	-
<b>12. Signature of the contract</b>	from 14th December 2020	-

All times are in UTC, Universal Time Coordinated.

**This indicative timetable refers to provisional dates and can be updated by Expertise France during the procedure. In this case, the updated calendar will be published on the Expertise France website via the link <https://www.expertisefrance.fr/offer-detail?id=798128> and the ARAA website via the link <http://www.araa.org/en/call-for-proposal/notice-call-project-proposals-n%C2%B02-gccaao-2020>.**

## **2.6 Conditions for implementation after decision to award a grant**

Following the decision to award a grant, the beneficiary (ies) will be offered a contract based on the grant contract template (Annex F of these guidelines). By signing the application form (Annex A of these Guidelines), the applicants accept, if the grant is awarded, the contractual terms and conditions of the grant contract template.

### **Implementation contracts**

Where the implementation of an action requires the awarding of contracts by the beneficiary (ies) and (if applicable) its affiliated entity (ies), the contract must be awarded in accordance with the Annex IV of the grant contract template.

### **3. LIST OF ANNEXES**

#### **DOCUMENTS TO COMPLETE**

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (WORD FORMAT)

ANNEX D: LEGAL ENTITY SHEET

ANNEXES E: FINANCIAL IDENTIFICATION FORM AND THIRD IDENTITY SHEET

ANNEX J: FORM FOR DESCRIPTION OF THE SUBSIDY CANDIDATE'S SKILLS

#### **DOCUMENTS FOR INFORMATION**

ANNEX F: MODEL GRANT AGREEMENT

- Annex II: General conditions

- Annex IV: Procurement rules by the beneficiaries

- Annex V: Payment Request Template

- Annex VI: Narrative and Financial Reporting Template

- Annex VII: Declaration on honor regarding the exclusion criteria and the absence of conflicts of interest

- Annex VIII: Model of transfer of ownership of assets

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Annex G: Maximum per diem rates available at the following address:  
[http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems\\_en](http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en) (all necessary information is available through the link, the publication of the annex is optional)

Annex H: Information on the tax regime applicable to the grant contract signed under the call for proposals

Annex I: Guidelines and checklist for evaluating the budget

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