



Contracting Authority:

European Commission

ACP-EU Energy Facility II:

2nd Call for Proposals

Open Call for Proposals

Guidelines for grant applicants

10th European Development Fund

Reference: EuropeAid/133481/C/ACT/Multi

Deadline for submission of Concept Notes and Full Applications:

03/06//2013 at 16:00 hours CET

(Central European Time)

Notice

This is an open Call for Proposals, where all documents are submitted together (Concept Note and Full Application Form). In the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants who have been pre-selected, the full proposal will be evaluated. After the evaluation of the full proposals, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed 'Declaration by the Applicant' sent together with the application.

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1. ACP-EU ENERGY FACILITY: 2ND CALL FOR PROPOSALS

1.1. BACKGROUND

Energy and Poverty

Access to modern and sustainable energy services is vital for satisfying basic human needs and a prerequisite for economic growth. Yet one in every five people on Earth lives without access to electricity and the opportunities it offers. Moreover, nearly 3 billion people use wood, coal, charcoal, or animal waste to cook their meals and heat their homes, exposing themselves to smoke and fumes that kill nearly 2 million people a year. This is especially dire in African, Caribbean and Pacific (ACP) countries where the electricity access rate is, on average, only 10%, and in many countries is as low as 1%. Additionally, 2.7 billion people are without access to clean cooking facilities, and 1.5 million people die every year from indoor pollution caused by the inadequate use of traditional biomass fuels. Inefficient management of the natural resources used for these fuels leads to deforestation and desertification. The situation is exacerbated by poor governance, very often considered as the weakest component of the energy sector in ACP countries.

This burden of energy poverty is particularly felt by the rural communities in developing countries – predominantly by women and children – whilst the world increasingly acknowledges that without tackling energy poverty the Millennium Development Goals (MDGs) will not be achieved. Simultaneously, the emissions of carbon dioxide and other greenhouse gases from fossil fuels are starting to contribute to changes in Earth's climate to the detriment of all and specifically to those living in developing countries.

Sustainable Energy for All Initiative

2012 was declared the International Year of Sustainable Energy for All by the UN General Assembly in recognition of the importance of access to energy for sustainable economic development and the achievement of the MDGs. In this context, the UN Secretary-General has launched a global initiative to achieve the following 3 interlinked objectives by 2030: (i) ensure universal access to modern energy services, (ii) double the rate of improvement in energy efficiency and (iii) double the share of renewable energy in the global energy mix.

The EU will continue to fully support SE4All with a strong emphasis on Sub-Saharan Africa but support to few countries in other regions is also possible. Several existing and complementary EU instruments will be used to immediately scale up EU's action in the energy sector. Providing energy access requires a multidimensional action, from electricity generation to distribution, from policy making to capacity development and it involves a wide-range of levels and stakeholders, from the global to local levels and from the public and private sectors and civil society.

Africa-EU Energy Partnership

Access to energy is one of the two priorities of the Africa-EU Energy Partnership which is part of the EU-Africa Joint Strategy and Action Plan adopted in Lisbon in December 2007. The pivotal role that the EU carries on playing by continuously prioritising action towards energy access is highlighted in the recently presented **Agenda for Change**¹ - the agenda driving EU's development and cooperation action - and through its headship role in the UN Sustainable Energy for All initiative. The EF will be also instrumental to achieve the objectives highlighted within these three main initiatives and will be in line with other funding instruments in the sector of Energy and Development provided by other EU Member States and International Donors.

¹ http://ec.europa.eu/europeaid/news/agenda_for_change_en.htm

Energy and Fragility

"Fragile states" is the term used for countries facing particularly severe development challenges: weak institutional capacity, poor governance, and political instability. Often these countries experience on-going violence as the residue of past severe conflict. Fragile states have acute energy needs (for instance in Sub-Saharan Africa some countries have access rates as low as 2-10% compared with a regional average of around 30%) that often require different approaches than those applied in other countries. Typically they have very little infrastructure, electricity provision is limited to the capital and even there it is at best sporadic. Governments have often very limited capacity and even fewer resources to address competing pressing demands; households desperately need better access to basic services but have only a very limited capacity to pay for these services. Solutions applied in other countries often do not work in the post-conflict/fragile country setting – e.g. private sector is less developed and reluctant to take investment risks, the high poverty levels call for higher subsidies etc. In order to accelerate energy access expansion to power economic growth and support MDGs the following actions have been recognized as urgently needed:

- Raise investments - both from public and private sectors– to scale up generation capacity and to support economic growth and increase of access
- Develop greater broad-based efforts to increase access to modern energy services as well as access to mechanical power in rural and remote areas, leveraging both governmental and non-governmental actors;

The Energy Facility

The identification of energy for development as a central area for the European Union (EU) action can be traced back to the *World Summit on Sustainable Development (WSSD)* in 2002 in Johannesburg, in which the EU launched the *EU Energy Initiative for Poverty Eradication and Sustainable Development (EUEI)*; an initiative aimed at contributing to the achievement of MDGs, in particular the goal of halving the number of people in extreme poverty by 2015 via the provision of adequate, affordable, sustainable energy services to the poor. As a follow-up from this initiative, the ACP-EU Council and the European Commission (EC) worked together in the establishment of the first **ACP-EU Energy Facility (EF)**; a EUR 220 million investment facility created in 2005 and funded by the 9th European Development Fund (EDF). Following the successful implementation of this first Facility, it was decided to create a second one and replenish it with another EUR 200 million coming from the 10th EDF intra ACP envelope. Finally, a €25.000.000 top-up to this amount has been recently agreed between the ACP Group of States and the European Commission.

The general scope of the EF is to provide funds for actions aiming at increasing and improving access to sustainable energy especially in rural and peri-urban areas.

Three Calls for Proposals (CfP) have been foreseen under the EF: one under the 9th EDF EF and two under the 10th EDF EF. The two first CfPs were successfully managed. 140 projects² were selected for a total grant funding of about EUR 300 million. Several projects of the first CfP are now closed or about to be finalized. A Mid Term Evaluation (MTE)³ of this CfP was undertaken in 2011 with the purpose of drawing key lessons in order to improve the relevance, efficiency, effectiveness, sustainability and impact of the CfPs.

One of the main recommendations of the MTE was to concentrate funding of the next Call for Proposal on projects and models that have been proven and that show significant potential for cost-effective scaling-up. The EF will be also instrumental to achieve the objectives highlighted within the above mentioned initiatives (Africa-EU Energy Partnership, Agenda for Change, Sustainable Energy for All and Powering Agriculture) and will be in line with other funding instruments in the sector of Energy and Development provided by other EU Member States and International Donors.

² List and description of projects including other useful information on the implementation of the EF can be found at: www.energyfacilitymonitoring.eu

³ http://ec.europa.eu/europeaid/where/acp/regional-cooperation/energy/documents/summary_for_decision_makers.pdf

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **Global objective** of this Call for Proposals is to contribute to the achievement of the Millennium Development Goals (MDG) on poverty alleviation, as well as of the World Summit on Sustainable Development (WSSD) objectives on energy, while helping to fight against climate change.

The **Specific objective** of this Call for Proposals is to increase and improve access to modern, affordable and sustainable energy services for rural poor by focusing on renewable energy solutions as well as on energy efficiency measures.

Priorities

For a proposed action (project) to be eligible for financing under this Call for Proposals, it must first of all fall under the above objectives. Furthermore the action will have to adhere to the following priorities:

1. **Scaling-Up:** Scaling-up of proven successful actions having high impact on poverty reduction through sustainable rural electrification activities. In such cases, demonstration of the successful deployment along with proof of capacity to replicate/upscale it will be critical. Will be considered for funding only actions providing access to energy services to not less than 30,000 people by the end of the project duration whilst priority will be given to projects demonstrating higher efficiency through providing access to a higher number of people. The feasibility of such a target will have to be duly proven in the feasibility study.
2. **Focus:** concentrate on the target group, i.e. poor people living in scattered settlements, villages, rural towns.
3. **Ownership:** anchor ownership of a project to the beneficiary and to ensure the coherence and alignment of the project with Local, National or Regional Development Plans and other sector-specific, poverty reduction and energy-related policies.
4. **Geographical coverage:** Priority of funding will be given to actions to be implemented in African ACP Countries. Actions in the Pacific ACP Countries are not subject of this Call for Proposals because for this region a separate initiative will follow

As an Advantage:

1. **Private sector involvement/Leverage:** Considering the limited amount of funds available under this Call in comparison with the required investment needs, private sector and bank's investments and participation in the energy sector will be sought, notably by supporting the reduction of barriers for private sector involvement.
2. **Innovation:** Extend the frontiers of energy supplies and services through support for approaches which are innovative in their organization, financing or delivery mechanism.
3. **Support to authorities in charge of rural electrification/rural energy:** actions and activities aiming at supporting/implementing strategies and plans of existing Rural Electrification/Energy Agencies and/or other governmental organisation managing rural electrification.
4. **Productive use of Energy:** actions and activities aiming at increasing access to energy services for local productive activities so as to promote economic growth, generate jobs and consequent increased affordability for energy service.
5. **Access to energy services for public services** (e. g.: schools, clinics, etc.)
6. **Energy-Food nexus:** the proposed actions should support a diverse range of innovative and viable approaches to improve food security accelerating the design and deployment of clean energy solutions to smallholder farmers and agribusinesses. Such interventions may address the aforementioned demand-side and/or supply-side barriers to integrating clean energy technology in the production, processing, storing, and marketing of agricultural goods.

Type of Actions

The Call for Proposals will aim at providing grants for investments for provision of modern energy services for the rural poor through rural electrification. The focus shall be the local impact of the action and on utilizing renewable sources of energy. Capacity building and governance may be included as an integral and complementary part of investment operations, and may cover all aspects related to the provision of energy services. Technology transfer will be encouraged insofar as it is adapted to the local context. For economic and environmental reasons, energy efficiency measures are encouraged, including as a component of an investment project.

Projects should directly involve local actors and end beneficiaries. In the access-oriented energy investment projects, accompanying measures could be foreseen, including for the promotion of productive use of energy, beyond the provision of basic services. The use of fossil fuels (NB in hybrid systems only) and the connection to existing grids (e.g. to make a renewable investment economically more viable), may be considered on an exceptional basis only and subject to adequate justification as regards the increase of access to energy and on the basis of environmental and economic considerations.

With regard to rural electrification, actions may address various types of target areas:

1. Electrification of isolated areas (electricity for dispersed populations in these isolated areas will not be done through the national grid within the foreseeable future): the actions supported by the Energy Facility will concern decentralized systems mainly based on:

- Small solar / wind / bio-energy / hydro power plants in combination with a rural distribution network;
- Technical innovations for rural electrification in areas such as micro-hydro, new types of electricity distribution technology, decentralised grids, etc.;

N.B. projects concerning biofuels production will not be considered eligible under this Call for Proposals

2. Electrification of rural growth centres through decentralized solutions; Projects aiming at implementing decentralized solutions, based on renewable energy, for rural growth centres and surrounding areas (which in a later phase might be connected to the national grid). These projects could have electricity surpluses potentially sold in the medium-term to the national grid. Such projects could benefit from blended funding (mix of loans and grants) with a contribution from the EF.

The Call will also support projects managed by rural electrification funds and agencies, in particular those involving co-financing of investment projects (with the possible involvement of EU Member States and European Financing Institutions) and those aimed at rural electrification schemes covering a regional concession area, including renewable technologies and decentralised solutions.

Actions supported by the Call should not contribute to markets distortions nor give rise to profits during the period of implementation of the project.

Under certain circumstance, the Call for Proposals may support actions involving Public Private Partnerships or other forms of private sector participation from the international to the local levels. Innovative ways to leverage private and commercial funding can be proposed and are encouraged. They will be analysed under the overriding principles of affordability and benefits to users/citizens and compliance with 10th EDF financial and contractual rules.

The following non-exclusive list gives *indications* of the type of actions which may be considered for support provided that they meet the objectives, specific objective and priorities of the Call for Proposals (see above).

- Actions aiming at consolidating and/or scaling-up of proven successful, relevant, efficient (financially and in terms of management), effective, having high impact on poverty reduction and sustainable energy access activities (including activities previously funded by the EU and the ACP-EU Energy Facility). In such cases, demonstration of the successful deployment along with proof of

capacity to replicate/upscale it will be critical. Will be considered for funding only actions providing access to energy services to not less than 30,000 people by the end of the project duration. The feasibility of such a target will have to be duly proven.

- Investment projects and well defined components of existing energy sector programs that have a clear rural focus. Actions which include rehabilitation and improvement to existing services may be acceptable, provided that they bring real and measurable additional benefits to the poor.
- Actions that intend to promote local investment for rural electrification inter alia through development of local credit markets, excluding credit lines. Actions supporting microfinance activities, especially those at grassroots level, may also be considered. However direct credits to third parties are not eligible under this Call.
- Civil Society initiatives, including the promotion of innovative approaches for rural electrification, to deliver basic energy services for the un-served poor, support to community projects that sustain livelihoods through the provision of energy,
- Governance and capacity development: In a number of cases a successful implementation of a project will be closely related to the governance of the sector and/or capacity development of the involved stakeholder, including at the level of authorities. Furthermore, very often, when implementing concrete projects unforeseen governance and capacity issues arise and should be dealt with. It is a good opportunity to enhance the investment framework in a particular region or country. Therefore, in some cases, accompanying measures of investments projects can include some measures for good governance and/or capacity development.

Types of activity

Construction and/or rehabilitation of energy infrastructure towards enhanced energy access in coherence with the local energy needs and context.

Examples:

- setting up of mini-grids and/or off-grid renewable energy systems for households, public services (schools, clinics) and productive use of energy including food production and processing;
- energy markets development;
- development of Renewable Energy Companies or Energy Saving Companies;
- supply and installation of solar/wind powered pumps for water supply schemes for agricultural purposes;

This list is not exhaustive.

Expected Results

- Increased access to electricity in rural communities of target countries;
- Improved living conditions and life opportunities;
- Creation of livelihoods through productive use of energy;
- Jobs created;
- Enhanced sustainable and inclusive economic growth.

This list is not exhaustive.

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is €55,000,000. The Contracting Authority reserves the right not to award all available funds. Likewise, the Contracting Authority may allocate additional funds to be made available under this Call.

Depending on the quality of the proposals to be submitted, an indicative amount of €15,000,000 will be allocated for projects targeting the Great Lake region: Burundi, RDC and Rwanda that are in line with the “Road Map of EU-Great Lake cooperation in the sector of Energy”(see annex M to these guidelines)

Size of grants

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

- minimum amount: €4,000,000
- maximum amount: €8,000,000

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

- Minimum percentage: 25% of the total eligible costs of the action.
- Maximum percentage: 75% of the total eligible costs of the action (see also Section 2.1.4).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund⁴.

The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the applicant must justify full financing in Section 2.1.6 of Part B of the grant application form. The validity of the justification provided will be examined during the evaluation procedure.

4 Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2. RULES FOR THIS CALL FOR PROPOSALS

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

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- The applicant, the entity submitting the application form, if any, its co-applicant(s) (where it is not specified otherwise the applicant and the co-applicant(s) are hereinafter jointly referred as the "applicants") (2.1.1), and, if any, their affiliated entity(ies) (2.1.3);
- projects for which a grant may be awarded (2.1.4);
- types of cost that may be taken into account in setting the amount of the grant (2.1.5).

2.1.1. Eligibility of applicants (i.e. applicant and co-applicant(s))

Applicant

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

- be legal persons **and**
- belong to one of the following categories:
 - non-state actors (NSA)⁵, including actors under private law entrusted with a public function related to Energy (public utilities, parastatal, semi-public or private with a legally valid concession or other agreement etc.) at municipal or regional⁶ level **or**
 - State⁷ (local, regional and national) actors **or**
 - ACP regional organisations **and**
- be established in^{8 9} :

⁵ According to Article 6 of the Cotonou Agreement, non-state actors (NSAs) include: i) private sector; ii) economic and social partners, including trade union organisations and iii) civil society in all its forms according to national characteristics.

⁶ Regional also means sub-state level.

⁷ At national level: State agency, department or Ministry entrusted with responsibilities related to the implementation of activities relevant to this Call. At local and regional level: actors having a distinct juridical personality from the respective State. In case of ACP decentralised authorities (at local level) which, under the current national law, have no distinct juridical personality from the State nor the capacity to be a grant applicant, proposals may be presented at governmental level by the above mentioned State body. Proposals by ACP State applicants must be presented with the letter of endorsement of the National Authorising Officer (model included in annex to the Application Form).

⁸ To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

- a Member State of the European Union **or**
- another EEA Member State (Iceland, Liechtenstein and Norway), an EU acceding country (Croatia) or an official EU candidate country (Montenegro, Turkey, The Former Yugoslav Republic of Macedonia) **or**
- one of the ACP countries **or**
- another Least Developed Country (LDC) as defined by the United Nations and included in section VI of Annex L to these Guidelines.

Furthermore, for proposed actions taking place exclusively in the least developed countries as defined by the OECD/Development Assistance Committee (DAC) ¹⁰ reciprocal access shall be granted to the members of the aforementioned Committee¹¹; **and**

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary

(2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address:

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

In Part B section 8 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The applicant may act individually or with co-applicant(s).

However for all actions submitted by applicants not having the nationality of the country where the proposed action is to take place there must be **at least one** ACP co-applicant (i.e. having the nationality¹² of the ACP country where the proposed action will take place).

Co-applicant(s)

Co-applicant(s) participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

Co-applicant(s) must satisfy the eligibility criteria as applicable to the applicant himself.

However, an ACP State or public body without a distinct legal personality from State cannot act as co-applicant.

If awarded the Grant contract, the applicant and (if any) the co-applicants will become the Beneficiaries in the Action. In particular, the applicant will become the Beneficiary identified as the Coordinator in the Special conditions. The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other Beneficiary (if any) and coordinate the design and implementation of the Action.

⁹ Please refer to Annex L: list of eligible applicants and co-applicants nationalities

¹⁰ Available at

<http://www.oecd.org/dac/aidstatistics/DAC%20List%20used%20for%202012%20and%202013%20flows.pdf>

¹¹ Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxemburg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States.

¹² Please refer to footnote n°8

2.1.2. Associates and Contractors

The following are not co-applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' statement":

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Part B section 6 — ‘Associates of the Applicant participating in the Action’ — of the Grant Application form.

- Contractors

The grant beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

2.1.3. Affiliated entities

The applicant and its co-applicant(s) may act with affiliated entity(ies).

Affiliated entity(ies)

The following entities may be considered as affiliated entities to the applicant or to the co-applicant(s):

- (i) legal entities together forming one legal entity, including where it is specifically established for the purpose of implementing the action. In this case, the resulting legal entity may apply as a single applicant or co-applicant.
- (ii) legal entities having a link with the applicant, notably a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation on the condition that they satisfy the eligibility and non-exclusion criteria of an applicant.

Affiliated entity(ies) to the applicant and of the co-applicant(s) participate in designing and implementing the action. The costs incurred by affiliated entity(ies) are eligible in the same way as those incurred by the applicant and by the co-applicant(s) respectively. If awarded the Grant contract, affiliated entity(ies) (if any) will not become the Beneficiaries in the Action

Affiliated entity(ies) must satisfy respectively the eligibility criteria as applicable to the applicant and to the co-applicant(s).

2.1.4. Eligible actions: actions for which an application may be made

Definition:

An action is composed of a set of activities.

Duration:

The initial planned duration of an action may not exceed 48 months.

Sectors or themes

The specific theme of this Call for Proposals is energy access in the rural areas of target countries through rural electrification as elaborated in section 1.2. above.

Location

Priority of funding will be given to actions to be implemented in African ACP Countries.

Actions in the Pacific ACP Countries are not eligible for financing under this Call for Proposals because for this region a separate initiative will follow.

Types of action

Please refer to section 1.2 above

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at http://ec.europa.eu/europeaid/work/visibility/index_en.htm).

Monitoring and Evaluation¹³

Actions should foresee planning, human resources, budget and any other appropriate measures for the monitoring and mid-term and final evaluation of the proposed action.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions concerned only with one-off conferences. Conferences can only be funded if they form part of a wider range of activities to be implemented in the life-time of the project. For these purposes, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such “wider activities”;
- non-productive “research” type projects;
- technology "Pilot" or "demonstration" projects;
- projects for expanding and improving electricity services in urban areas and general grid extension, which would normally be the responsibility of established utility companies or existing commercial providers;
- actions supporting individual political parties;
- actions including proselytism.

The grant **must not give rise to private profits**. Likewise the use of the grant **must not create any distortions in the energy market** of the targeted country/region neither should undermine the provision of market-based sources of capital. In this respect, the applicants must demonstrate through their application and in particular in the economic and financial analysis that the proposed action cannot be realised without

¹³ http://ec.europa.eu/europeaid/how/ensure-aid-effectiveness/monitoring-results_en.htm

subsidy element in a reasonable time frame. Moreover, the applicants must check and confirm in their application that they have not been any similar investments or activities undertaken without a subsidy element under similar circumstances (same country, region, etc).

Number of applications and grants per applicant

The applicant may submit more than one application(s) under this Call for Proposals.

The applicant may be awarded more than one grant(s) under this Call for Proposals.

The applicant may be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant may submit more than one application(s) under this Call for Proposals.

A co-applicant may be awarded more than one grant(s) under this Call for Proposals.

A co-applicant may be an affiliated entity in another application at the same time.

The affiliated entity(ies) may take part in more than one application.

2.1.5. Eligibility of costs: costs that can be included

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for 'eligible costs'.

The reimbursement of eligible costs may be based on any or a combination of the following forms:

- actual costs incurred by the Beneficiary(ies) and affiliated entity(ies)
- one or more simplified cost options.

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the Grant Beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

The applicant proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to "UNIT RATE" (per month/flight etc), "LUMPSUM" or "FLAT RATE" in the Unit column. (see example in Annex K)

Additionally in Annex B, in the second column of worksheet no.2, "Justification of the estimated costs" per each of the corresponding budget item or heading the applicant must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount¹⁴
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

At contracting phase, the Contracting Authority decides whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicant, by analysing factual data of grants carried out by the applicant or of similar actions and by performing checks established by Annex K.

The total amount of financing on the basis of simplified cost options that can be authorised by the Contracting Authority for any of the applicants individually (including simplified cost options proposed by their own affiliated entities) cannot exceed EUR 60 000 (the indirect costs are not taken into account).

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

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

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 G of the Guidelines).

Contingency reserve

The budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the Contracting Authority.

Eligible indirect costs

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 eligible direct costs that would not be sub-contracted¹⁵.

NB: Since a significant percentage of the total budget may be allocated to cover the costs of the works and supply of materials and that would be sub-contracted, the calculation of the maximum indirect costs amount will be made on the basis of the non-sub-contracted amount only.

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 by the Evaluation Committee of the Call for Proposals and in case necessary to modify it. However, once the flat-rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

¹⁴ Examples:- for staff costs: number of hours or days of work * hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km * pre-set cost of transport per km; number of days * daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event * pre-set total cost per participant etc.

¹⁵ Maximum of 7% of the amount indicated in heading 7 in Annex B – Worksheet 1 – "Budget"

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

Contributions in kind

Contributions in kind mean the provision of goods or services to a Beneficiary(ies) or affiliated entity(ies) free of charge by a third party. As contributions in kind do not involve any expenditure for a Beneficiary(ies) or affiliated entity(ies), they are not eligible costs.

Contributions in kind may not be treated as co-financing.

However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- 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 Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

Sub-contracting

The applicant should indicate whether sub-contracting is envisaged, and, indicatively, to what extent as a proportion of the total costs of the action. If sub-contracting is foreseen, the applicant should show that the part of the action that will not be subcontracted will still bring a substantial added-value to the action.

The amount of the total Action costs incurred by the Applicant and its co-applicants or affiliated entities(s) which will not be subcontracted shall not be less than 25% of the EU contribution. If the Beneficiary is a State actor of an ACP country, that amount shall not be less than 10% of the EU contribution.

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Prior registration in PADOR for this Call for Proposals is obligatory.

Registration is obligatory for all applicants and co-applicants as well as affiliated entity(ies).

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

Before starting to register your organisation in PADOR, please read the 'Quick guide' on the website. It explains the registration process.

It is strongly recommended to register in PADOR when you start drafting your proposal and not to wait until just before the deadline of submission.

On the paper version of the proposal you must give your EuropeAid ID (EID). To get this ID, your organisation must enter PADOR to register, save and 'sign' certain obligatory data (the fields shown in orange on each screen) and the related documents (see section 2.4).

However, if it is impossible for the organisation to register in PADOR, it must submit a justification proving that this impossibility is general and beyond the control of the applicants and/or its affiliated entity(ies). In such cases, the applicants and/or affiliated entity(ies) concerned must complete the 'PADOR off-line form'¹⁶ attached to these Guidelines and send it by the submission deadline, together with the application, to the address indicated in sections 2.2.2 and 2.2.6. The registration in PADOR will then be carried out by the European Commission service in charge of the CfP. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

All questions related to registration in PADOR should be addressed to the PADOR helpdesk at: Europeaid-pador@ec.europa.eu.

2.2.1. *Application forms*

Applications must be submitted in accordance with the instructions on the Concept Note and the Full Application form in the Grant Application form annexes to these Guidelines (Annex A)

Applicants must apply in English, French, Spanish or Portuguese. Applicants must apply in the language most commonly used by the target population in the country in which the action takes place.

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. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

Clarifications will only be requested when the information provided is unclear and thus prevents the Contracting Authority from conducting an objective assessment.

For all proposals it is compulsory to submit together with the application form, the following documents: an **Eco-Fin analysis** (following the template of Annex 3 of the Grant Application form) and an assessment of the **Environmental Impact**. These have to be provided along the lines described in the Technical Guidance and Eco-Fin Analysis Guidance Notes (respectively Annexes 6 and 7 of the Grant Application form).

For all proposals it is also compulsory to provide a Feasibility Study (following the Technical Guidance Note).

¹⁶ Which corresponds to Sections 3 and 4 of Part B of the application form.

The **Table of project indicators and data** in the Technical Guidance Note contains standard indicators for energy projects which are suggested for inclusion in the Logical Framework, added to those that the applicant may want to include as specific to each project.

The **Procurement Plan** shall be present all tenders foreseen to be launched during the project, including a justified estimation of the cost of each of these tenders. The plan should be realistic considering that the timing for procuring equipment can be affected by lack of suppliers, difficulties in drafting technical specifications, authorizations, etc. Derogation of the rule of origins should be considered and its necessity and justifications highlighted in the proposal.

The applicant will ensure in writing a full understanding and agreement from the authorities in the country responsible for energy planning or service provision as well as from the local authorities. Failure to do so should be adequately justified. Applicants should also provide evidence on an active coordination with the “lead” donor in the energy sector when possible.

Technical Information Documents: Annexed information documents such as **Technical and EcoFin Guidance Note** have been prepared to help applicants and **should be carefully read and taken into account**. Clarifications will only be requested when information provided is unclear, thus preventing the European Commission from conducting an objective assessment.

Hand-written applications will not be accepted.

Please note that only the application form and the published annexes which have to be filled in (budget, logical framework and additional annexes as per the application form) will be evaluated. It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action. No additional annexes should be sent.

2.2.2. *Where and how to send Applications*

Applications must be submitted in one original and 2 copies in A4 size, each bound. The complete application form (Part A: concept note and Part B: full application form), budget and logical framework and additional annexes as per the application form must also be supplied in electronic format (CD-Rom) in a separate and single file (i.e. the application form must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section 7 of Part B the Grant Application form) and the Declaration by the applicant (Section 8 of Part B of the Grant Application form) must be stapled separately and enclosed in the envelope.

Where an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one has to be sent separately.

The outer envelope must bear the **reference number and the title of the Call for Proposals** (EuropeAid/133481/C/ACT/Multi) together with the title and the full name and address of the applicant, and the words ‘Not to be opened before the opening session’.

Applications must be submitted in a sealed envelope by registered mail, private 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

European Commission

Directorate-General for Development and Cooperation — EuropeAid

EuropeAid/133481/C/ACT/Multi

Unit B6 Office SC15 05/070

Avenue du Bourget 1

1040 Brussels

BELGIUM.

Phone number: +32 2 295 5883

Opening hours: 9:00–17:00 Mondays–Thursdays, 9:00–16:00 Friday. Closed on Saturdays, Sundays and Commission holidays.

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applicants must verify that their application is complete using the checklist (Section 7 of Part B of the Grant Application form). Incomplete applications may be rejected.

2.2.3. Deadline for submission of Applications

The deadline for the submission of applications is **03/06/ 2013** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at **16:00 hours CET** (Central European Time) as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

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

2.2.4. Further information about Applications

Questions (except those related to registration in PADOR) may in addition be sent by e-mail no later than 21 days before the deadline for the submission of applications to the below address, **indicating clearly the reference of the Call for Proposals:**

E-mail address: EuropeAid-EnergyFacility-Call@ec.europa.eu

The Contracting Authority has no obligation to provide clarifications to questions received after this date.

Replies will be given no later than 11 days before the deadline for the submission of applications.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, affiliated entity(ies), an action or specific activities.

No individual replies will be given to questions. All questions and answers, as well as other important notices to applicants during the course of the evaluation procedure, will be published on the internet at the EuropeAid web site

1. <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1284977262222&do=publi.welcome&userlanguage=en>
2. "Search by reference"
3. "133481"

It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of questions and answers published.

All questions related to PADOR registration should be addressed **to the PADOR helpdesk:**
Europeaid-pador@ec.europa.eu

2.3. EVALUATION AND SELECTION OF APPLICATIONS

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

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1, the application will be rejected on this sole basis.

(1) STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The application form satisfies all the criteria specified in points 1-5 of the Checklist (Section 7 of Part B) of the Grant Application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed action.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on the Concept Note, which can be found in Part A of the application form.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

	Scores	
1. Relevance of the action	Sub-score	30
1.1 How relevant is the proposal to the objectives, themes and priorities of the Call for Proposals? The criterion above will be assessed on the basis of the following questions: <ul style="list-style-type: none"> • Does the proposal demonstrate its relevance to the overarching goal of the CfP (access to energy services; achieving the MDGs and WSSD objectives on energy while combating climate change)? • Are the specific objectives of the proposal in-line with those mentioned in the Guidelines? • To which extent the proposal address the priority n.1 identified in section 1.2 of these Guidelines? • Is the proposal in line with priorities 2 to 4 identified in section 1.2 of these Guidelines (i.e focus, ownership and geographical scope). • Does the proposal address one or more of the priorities constituting an “advantage” as stipulated in section 1.2 of these Guidelines? Are these priorities clearly identified in the application? • Is the action coherent with partner countries' national and regional planning frameworks in order to ensure efficiency and coordination of work? • Is the project coherent with the Country and/or Regional Strategy Papers? 	5x2**	

<p>For proposals to be implemented in the Great Lake region, how is the proposal in line with Annex M to this guidelines ““Road Map of EU-Great Lake cooperation in the sector of Energy”</p> <p>A score of one point only will be allocated if the proposal does not address the general objective, nor the specific objective nor the priorities 1-4 identified in section 1.2 of these Guidelines.</p>		
<p>1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication)</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Have the energy needs and constraints of the country/region been adequately described and interrelated e.g. availability and reliability of energy supply by target area? • Is the action proposed relevant to these needs? • Does the activity avoid overlap with other actions and take account of/benefit from synergies/ harmonisation with other projects/ programmes such as other EU MS activities? 	5x2**	
<p>1.3 How clearly defined and strategically chosen are those involved (co-applicants, affiliates, final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Have target groups and final beneficiaries been clearly defined and strategically selected, are they relevant to the action and do they include the poor? Have target groups and final beneficiaries been quantified – where appropriate? • Have the socio-economic needs and constraints of target groups/ final beneficiaries been adequately described? • Is the identification/quantification of energy needs adequate? • Does the proposal demonstrate the affordability of the services to be developed and show that the proposed tariff policy would be adequate to ensure access to energy services for low-income households especially those that have to rely on more expensive sources of lesser quality? • Is the action proposed relevant to the needs identified? • Are local actors (authorities, private sector and communities) involved and is it envisaged that dialogue between these actors and the authorities in charge of policies and with international donors will be promoted? 	5	
<p>1.4 Does the proposal contain specific added-value elements, such as environmental issues, gender issues, needs of disabled people, rights of minorities and rights of indigenous peoples or innovation and best practices, as well as private sector and scaling-up orientation?</p>	5	
<p>2. Design of the action</p>	Sub-score	20
<p>2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved; does it take into account external factors and relevant stakeholders?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Has the baseline situation (quantified if possible) been adequately defined? 	5x2**	

<ul style="list-style-type: none"> • Have the roles and involvement of all stakeholders and co-applicants and affiliated (if applicable) been adequately described? • Are the target group’s levels of involvement, participation and acceptance in the action appropriate for the activities and expected results? 		
<p>2.2 Is the action feasible and consistent in relation to the objectives and expected results?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Have the objectives purpose and expected results been adequately described? • Have the outputs been quantified and how realistic are the quantified estimates? • To what extent are the proposed activities practical and consistent with the objectives, purpose and expected results (type of technology adequate to solve problem(s)? • Have the main assumptions and risks been adequately described? Are there adequate mitigation measures foreseen? • Does the project build on, or replicate, a proven energy service through rural electrification delivery model? • Are the institutional links to national public authorities responsible for sectors concerned by project activities taken into account? 	5x2	
TOTAL SCORE		50

* Note: A score of 5 (very good) may only be allocated if the proposal specifically addresses **all the priorities indicated** in Section 1.2 (Objectives of the programme) of the guidelines for the applicants including those considered as an "advantage".

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

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

First, only the Concept Notes with a score of at least 30 will be considered for pre-selection.

Secondly, the number of Concept Notes will be reduced, taking account of the ranking, to the number of Concept Notes whose total aggregate amount of requested contributions is equal to at least 200% of the available budget for this Call for Proposals.

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation. The Evaluation Committee will then proceed with the applicants whose proposals have been pre-selected.

STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 7 of Part B of the Grant Application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria help to evaluate the applicant(s)'s and the co-applicant(s) 's operational capacity and the applicant's financial capacity and to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the proposed action and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any affiliated entity(ies) of the applicants.

The award criteria help to evaluate the quality of the applications in relation to the objectives and priorities, and to award grants to projects which maximise the overall effectiveness of the Call for Proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover 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 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	YES/NO
<p>1.1 Does the applicant and, if applicable, co-applicant have sufficient experience of project management?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Do the applicant and its co-applicant have sufficient experience in project management: <ul style="list-style-type: none"> - in the energy sector - in the region/ countries in which the action is to take place - in identical or similar activities (nature, type, size, complexity), and notably: - in actions for rural electrification by focusing on renewable energy solutions as well as on energy efficiency measures <p><i>Note: Information to assess the above will be have to be provided in section 3 of the Grant Application form</i></p>	
<p>1.2 Does the applicant and, if applicable co-applicants have sufficient technical expertise? (notably knowledge of the issues to be addressed.).</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Do the applicant/co-applicant have sufficient technical expertise: <ul style="list-style-type: none"> - in the energy sector - in the region/ countries in which the action is to take place - in identical or similar activities (nature, type, size, complexity), and notably: - in actions for rural electrification by focusing on renewable energy solutions as well as on energy efficiency measures • Did the consortium of Applicant and co-applicants have already worked together on similar projects? 	

<p><i>Note: Information to assess the above will be have to be provided in section 2.1.7-2.1.8 and 2.1.9 of the Grant Application form</i></p>	
<p>1.3 Does the applicant and, if applicable, co-applicants have sufficient management capacity? (Including staff, equipment and ability to handle the budget for the action)?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Has the organisational structure for the proposal been described and is it adequate to implement the proposed action (in terms of technical, management, financial capacity)? • Do the applicant/co-applicants have the adequate staff to handle the action (number, qualifications, expertise of employees, etc.)? • Do the applicant/co-applicants have already put in place/or will timely put in place adequate arrangements with national/local authorities implicated in the action implementation, if applicable? <p><i>Note: the criterion will be assessed on the basis of information included in section 1.2 of the Grant Application form and in PADOR.</i></p>	
<p>1.4 Does the applicant have stable and sufficient sources of finance?</p> <p><i>Note: the criterion will be assessed on the basis of information included in PADOR.</i></p>	
<p>2. Relevance of the action</p>	30
<p><i>Score transferred from the Concept Note evaluation</i></p>	
<p>3. Effectiveness and feasibility of the action</p>	20
<p>3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Have the objectives and expected results been adequately described? • To what extent are the proposed activities practical and consistent with the objectives, purpose and expected results (type of technology adequate to solve problem(s)?) • Have the outputs been quantified and how realistic are the quantified estimates? • Have the problems been adequately identified and analysed as a basis for the action (energy access and level of services, socio-economic, environmental, capacity, and governance)? • Has the baseline situation (quantified if possible) been adequately defined? • Have the main assumptions and risks been adequately described for each of the proposed activities throughout the project cycle? • Are the assumptions and risks realistic regarding the proposal? Have adequate mitigation measures been proposed? • If needed, are there adequate capacity building activities foreseen? • Does the proposal include a clear and elaborated plan for the visibility of the action? 	5

<p>3.2 Is the action plan clear and feasible? Is proposal implementation carefully planned? Are the main elements of the implementation plan included?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Have the relevant stakeholders been involved in the project planning/preparation? • Is the implementation plan of the project feasible and realistic? • Is the duration of the project adequate to achieve expected result and ensure sustainability? • Is the procurement plan included? Is it feasible and realistic considering the difficulties in procuring equipment and obtaining permissions and approvals? • Is there an adequate monitoring and evaluation scheme (based if possible on internationally recognised M&E practices)? 	5
<p>3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? (i.e. is the Logical Framework coherent and well defined?)</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Does the proposal include Objectively Verifiable indicators (OVI) describing planned activities in operationally measurable terms (quantity, quality, target group(s), time, place). • Are the indicators SMART? (Specific, Measurable, Available at an acceptable cost, Relevant with regard to the objective concerned, and Time bound). • Does the proposal provide the baseline value of the key indicators as well as the targets for each of them? • Are sources of verification, for each key indicator, well defined and describe with sufficient details? • Can indicators be retrieved at low cost during the implementation of the action? • How does the feasibility study address this criterion? 	5
<p>3.4 Is the co-applicants (if any) and affiliates level of involvement and participation in the action satisfactory?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Have the roles and involvement of all stakeholders and co-applicants (if applicable) been adequately described? • Are the roles and involvement of co-applicants /stakeholders well balanced in terms of the objectives and activities of the action? • Are local actors (authorities, private sector and communities) involved and is it envisaged that dialogue between these actors and the authorities in charge of policies and with international donors will be promoted? • Does the Proposal include letters of support/agreements with relevant authorities and actors? • How does the feasibility study address this criterion? 	5
4. Sustainability of the action	15
<p>4.1 Is the proposal likely to have multiplier effects? (Including scope for replication and extension of the outcome of the action and dissemination of information)</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Are impacts likely to contribute to sustainability? (e.g. affordability, people reached, quality improvements...) • Will the action result in sustained long term capacity improvements? 	5

<ul style="list-style-type: none"> • Multiplication: Will multiplier effects be achieved through financial leverage, financial revolving schemes, scaling up or simply by replication of the action? • Replication: Are demonstrative effects of the proposal likely, serving as a model for replication, including the institutional framework? 	
<p>4.2 Are the expected results of the proposed action sustainable:</p> <ul style="list-style-type: none"> - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>) - environmentally (where applicable) (<i>will the action have a negative/positive environmental impact?</i>) <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Does the proposal demonstrate how the results of the action will continue to be in place after the end of the action? Under which institutional framework? • Does the proposal describe the financing scheme of follow-up activities, sources of revenue for covering all future operating and maintenance costs, etc.)? Is it realistic (e.g. in terms of demand analysis, revenues, tariff affordability)? If applicable) how resilient is the proposed action to fuel price variations? • Does the proposal demonstrate robust institutional and practical arrangements for long-term management of the services? • How has the issues of local "ownership" of action outcomes been addressed? • Does the applicant justify adequately technological choices for the proposal and their long term sustainability? • In case the action foreseen the setting up of commercial activity, does the applicant demonstrate that it will not generate distortion of local markets? • Are the target groups (and relevant authorities / institutions) in the position to afford maintenance and replacement of the technologies introduced and / or used by the proposal? Attention paid to affordability, willingness to pay • If applicable, what impact will the action have on the environment (including in terms of GHG emissions reduction)? Have adequate measures to avoid or mitigate negative effects on natural resources been identified? Will they be enforced? • Is the socio-economic sustainability of the proposal ensured? Have the relevant risks been taken into consideration and identified (are there mitigation measures proposed)? 	5x2*
<p>5. Budget and cost-effectiveness of the action</p>	15
<p>5.1 Is the proposal cost-effective and efficient? (ratio between estimated costs and expected results, real need for proposed expenditure...)?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Is there a clear correspondence between type of activities undertaken and necessary human resources and equipment deployed • Are all activities foreseen reflected in the budget? • Are there costs for activities that have not being described? • Is there an appropriate budget foreseen for evaluation (mid-term and final) and audit? • Is there a budget foreseen for participation to yearly Regional Seminars? 	5x2*

<ul style="list-style-type: none"> • Is the need for proposed expenditure realistic, adequate and acceptable? • Are cost estimates clear, complete and realistic? • Are ratio between estimated costs and expected results realistic, adequate and acceptable? • Are financial revenues realistically assessed? • Are economic benefits realistically assessed? • Are indirect costs justified for the specific project? • Is the EF funding and its percentage justified? • Did the applicant indicate sub-contracting costs as a proportion of the total costs of the action and shown that the part of the action that will not be subcontracted brings a substantial added-value to the action • Are investment costs estimates detailed, subdivided into proposal components with underlying assumptions explained? • Are detailed operation and maintenance cost estimates provided clearly explaining the underlying assumptions? <p><i>Note: the criterion will be assessed on the basis of information included in the Budget and in the Economic and Financial analysis</i></p>	
<p>5.2 Are the contributions of the Call and of other donors justified by the likely social and economic impact of the proposal (production of public goods, public benefits...)?</p> <p>The criterion above will be assessed on the basis of the following questions:</p> <ul style="list-style-type: none"> • Is the EF grant justified? • Does the proposal contribute to the welfare of the society as a whole? <p><i>Note: the criterion will be assessed on the basis of information included in the Economic and Financial analysis</i></p>	5
<p>Maximum total score</p>	80

*these scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

If the answer is negative to one or more of the criteria, the application will be rejected.

Provisional selection

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available. In addition, a reserve list will be drawn up following the same criteria to be used if more funds should become available during the validity period of the reserve list.

(2) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)

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

- The Declaration by the applicant (Section 8 of Part B the Grant Application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.

- The eligibility of applicants, the affiliated entities(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

Any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope.

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their affiliated entity(ies)¹⁷:

1. All required supporting documents **for** this Call for Proposals **must be uploaded** in the PADOR system see (Section 2.2); the deadline for uploading them in the system is the same as the deadline for submission of the The statutes or articles of association of the applicants¹⁸ and of each affiliated entity(ies) . Where the Contracting Authority has recognised the applicants' eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicants may submit, instead of its statutes, a copy of the document proving eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime¹⁹ .
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds €750 000,

This obligation does not apply to public bodies and international organisations provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU external actions.
3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)²⁰ .
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants, accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
5. A financial identification form of the applicant conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the

17 No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

18 Where applicants and/or (a) affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

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

20 This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and 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.

payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) 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 European Union, a translation into one of the language(s) of the call for proposals of the relevant parts of these documents proving the applicant(s)'s eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than one of the language(s) of the call for proposals, 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 one of the language(s) of the call for proposals.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

After verifying the supporting documents, the Evaluation Committee will make a final recommendation to the Contracting Authority, which will decide on the award of grants.

2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1. *Content of the decision*

The applicant will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.4.15 of the Practical Guide.

2.5.2. *Indicative timetable*

	DATE	TIME*
Deadline for requesting any clarifications from the Contracting Authority	13/05/2013	-
Last date on which clarifications are issued by the Contracting Authority	23/05/2013	-
Deadline for submission of Application Forms:	03/06/2013	16:00 CET
Notification of award (after the eligibility	July 2013*	-

check) (Step 3)		
Contract signature²¹	Last quarter 2013*	-

***Provisional date.** All times are in the time zone of the country of the Contracting Authority.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

2.6. CONDITIONS FOR IMPLEMENTATION AFTER 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 grant contract (see Annex G of these Guidelines). By signing the application form (Annex A of these Guidelines), the applicant agrees, if awarded a grant, to accept the contractual conditions of the standard grant contract.

If the Beneficiary is an ACP State Actor, the contract offered will be a Financing agreement.

Implementation contracts

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

2.7. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

their personal details (name, given name (if natural person), address, legal form and name and given name of the persons with powers of representation, decision-making or control (if legal person) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.

21 Note that according to the financial regulation, the signing of a grant contract with the applicant must take place within 3 months from when it was notified the decision to award a contract. However, in exceptional circumstance, in particular for complex actions launched for large number of proposals or where there have been delays attributable to the applicants (or their applications) this limit may be exceeded. The 3 months rule only applies in case of direct centralised management.

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)

Annex D: Legal Entity Sheet

Annex E: Financial identification form

Annex F: PADOR off Line Form (only in case the on line PADOR registration has not been possible)

DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

- Annex II: General conditions applicable to European Union-financed grant contracts for external actions
- Annex IV: contract award procedures
- Annex V: standard request for payment
- Annex VI: model narrative and financial report
- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
- Annex VIII: model financial guarantee
- Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (Per diem), available at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm

Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

Annex I: Standard Financing agreement, applicable if the Beneficiary is a State actor

Annex J: Information on the tax regime applicable to grant contracts signed under the call.

Annex L: List of Eligible applicants' and co-applicants nationalities

Annex M: Feuille de Route pour la coopération UE-Grands Lacs dans le secteur de l'énergie

Project Cycle Management Guidelines

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