**Annex II**

**CALL FOR ‘Enhancing ecosystem-based shoreline protection and food security in Papua New Guinea’ PROPOSAL**

RFP: 20-077

**Terms of Reference**

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| --- |
| Terms of Reference Key points:   * The proposed projects must take place in the **Central and Gulf Provinces of Papua New Guinea.** Section 4.2.8 * The proposed projects must address one or more the **following adaptation activities: aquaculture, agriculture, fuel efficiency, and shoreline protection (including but not limited to mangrove restoration and expansion).** Section 3.2 * The funding requested must not exceed **€ 20,000 – twenty thousand euros**. Section 4.2.3 * **Applicants can request support** to file their proposition to the University of South Pacific. Section 7 |

1. **Background**

The EU-funded Intra-ACP GCCA+ Pacific Adaptation to Climate Change and Resilience Building (PACRES) aims to ensure better regional and national adaptation and mitigation responses to climate change challenges faced by the 15 Pacific ACP countries. Implemented jointly by the Secretariat of the Pacific Environment Programme (SPREP), the Pacific Islands Forum Secretariat (PIFS), the Pacific Community (SPC) and the University of the South Pacific (USP), PACRES will, for this particular component, scale-up adaptation pilots in the five Pacific ACP countries – Samoa, Vanuatu, Solomon Islands, Papua New Guinea, and Timor Leste – not receiving support under the GCCA+ Scaling Up Pacific Adaptation (SUPA).

It should be noted that, under other components, PACRES will also support the review or development of National Adaptation Plans, Joint National Action Plans, Nationally Determined Contributions, or Low Emissions Development Strategies, strengthening and streamlining of monitoring and reporting frameworks, mainstreaming climate change and disaster resilience, and piloting the resilience sector as a community of practice in other Pacific ACP countries. In addition, the project will support the Pacific Resilience Partnership, provide additional training for Pacific UNFCCC negotiators, increase access to and reach of climate change and disaster information, scale-up Pacific professional resilience capacity, strengthen USP’s academic curricula in resilience, climate change and disaster risk management with additional scholarships and on-line courses, and strengthen engagement with the private sector in building climate change and disaster resilience.

1. **Specific Objective of PACRES**

This call for proposals relates to the following PACRES specific objective: “Pilot adaptation projects including ecosystem-based solutions, implemented and tested in ACP regions and in particular Pacific ACP countries, serving as references for further replication in the Pacific, have been scaled-up”.

1. **Expected Results**
   1. **Types of activities**

Activities must:

* Be consistent with the specific objective of PACRES;
* Achieve tangible results and impacts in the field, expressed through clear indicators;
* Include collaboration with the local communities;
* Be cost-efficient and sustainable;
* Conclude by end of 2021;
* Include reporting on achievements;
* Have long term impact;
* Be reproducible, and/or serves as a demonstration.
  1. **Sectors and / or themes covered by eligible activities (with indicative examples of eligible activities)**

Ecosystem based adaptation actions in the said location (ref. 4.2.8), **in the following sectors:**

* **Aquaculture**
* **Agriculture**
* **Fuel efficiency**
* **Shoreline protection, including but not limited to mangrove restoration and expansion (tree planting and seedling nursery)**

The following types of action are not eligible:

* The purchase of land or involuntary resettlement of people;
* Activities on indigenous people’s lands or territories without having obtained their free, prior and informed consent;
* Activities on land contested by local communities or indigenous people;
* Activities that negatively affect physical cultural resources and their access and use, including those important to local communities;
* The removal or altering of any physical cultural property (includes sites having archeological, paleontological, historical, religious, or unique natural values);
* Activities significantly affecting vulnerable groups within local communities, indigenous peoples or where these communities, vulnerable groups, indigenous people have not provided their broad support to the project activities;
* Activities that include the procurement, handling, storage and use of unlawful pesticides;
* Activities that negatively impact ecosystems and protected species.

In addition, applicants shall **not** propose financial support to third parties through sub-grants.

1. **Eligibility**

There are three sets of eligibility criteria, relating to:

1) Actors:

* the lead applicant, i.e. the entity submitting the application form;
* if any, its co-applicant(s) *(the lead applicant and its co-applicants are jointly referred to as “applicants”).*

2) Actions for which a grant may be awarded (see section 3.2 above).

3) Costs:

* the types of costs that may be taken into account in setting the amount of the grant. (See section 4.3. below).
  1. **Eligibility of the applicants** 
     1. **Lead Applicant**

The lead applicant may act individually or with co-applicants.

In order to be eligible for an SPC PACRES Grant, the lead applicant must:

* **be a registered legal entity** (e.g. a registered/incorporated company or organisation);
* **be directly responsible** for the preparation and management of the grant project and not acting as an intermediary;
* not be a beneficiary of a grant funded by the European Union (including EDF funds) for the same activities.

The different status of eligibility for SPC PACRES Grants are summarized as follows: government agencies, non-governmental organisations, private non-profit agencies, individual persons (registered as a legal entity) or private companies as long as the funding provided by SPC-PACRES does not constitute either an increase in capital or a source of profit (even indirect).

If awarded the grant, the lead applicant will become the beneficiary identified as the coordinator in the grant contract. The coordinator is the main interlocutor of the SPC PACRES team. It represents and acts on behalf of any other co-beneficiary (if any) and coordinates the design and implementation of the action. The coordinator bears full responsibility for the technical and financial implementation of the project.

* + 1. **Exclusion criteria**

Applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in the Procedures and practical guide, PRAG 2018 ([Practical Guide- Section 2.6.10.1.1](https://ec.europa.eu/europeaid/prag/document.do?nodeNumber=2.6.10.1.1)). This practical guide on contract procedures for European Union external action (PRAG) provides contracting authorities, and tenderers, candidates, applicants and contractors, with practical assistance in preparing and implementing procurement and grant contracts in the field of external action.

To that effect, applicants must sign a dedicated declaration (see annex V).

* + 1. **Co-applicant(s):**

Co-applicants participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the lead applicant. Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant. Co-applicants must sign the mandate included as Annex 2 to these guidelines. If awarded the grant contract, the co-applicant(s) (if any) will become beneficiary(ies) in the project (together with the lead applicant as coordinator).

* 1. **Eligible actions**
     1. **Definition**

An action is composed of a set of activities.

* + 1. **Financial allocation**

The overall amount made available for the SPC PACRES Papua New Guinea Grant call for proposals is one hundred thousand euros – €100,000.

* + 1. **Size of grants**

**Any grant requested under this call for proposals must be no more than twenty thousand euros – € 20,000**

* + 1. **Percentage of costs eligible:**

SPC PACRES will provide up to a maximum of 95 % of the total eligible costs of the project. The applicants are required to provide a minimum of 5% co-financing.

Technical and financial reporting will be required for all project costs, including those covered by co-financing. All costs are subject to expenditure verification independently of the source of funding.

SPC PACRES grants must be based on the actual costs incurred by the beneficiaries.

* + 1. **Procurement policy**

Grant beneficiaries must follow SPC procurement policy.

A copy of the policy and rules will be given along with the grant contract.

* + 1. **Duration**

SPC PACRES Grants can have a maximum duration of 18 months and must comply with the start and end dates stated below.

* + 1. **Start and End Dates:**

Start Date: The project start date must be on or later than the 31st of September 2020.

End date: The latest possible end date is 31 December 2021. Projects must end on or before this date. All project activities and deliverables must be completed by the project end date.

* + 1. **Location:**

**Actions must take place in the Gulf and Central Provinces, Papua New Guinea.**

* + 1. **Official documents***:*

An award letter, together with the activity sheet and budget, will be given to each lead agency.

This letter will have to be signed by the representatives of both SPC and the lead agency before the activities begin.

* 1. **Eligibility of costs**

* + 1. **Eligible costs:**

Only eligible costs will be funded by PACRES. The eligible costs must be:

* incurred in the course of the action, with the exception of costs relating to final reports and audit certificates;
* indicated in the estimated overall budget of the action;
* necessary for the implementation of the action;
* identifiable and verifiable, in particular being recorded in the accounting records of the grantee;
* compliant with the requirements of any applicable tax legislation; and
* reasonable and justified, and that comply with the requirements of sound financial management, in particular regarding economy and efficiency.
* Beneficiaries must take care to avoid any unnecessary or excessively high expenditure.
  + 1. **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;
* purchases of land or buildings;
* currency exchange losses;
* credit to third parties;
* Salary costs of the personnel of national administrations unless they relate to the cost of activities which the relevant public authority would not carry out if the Action were not undertaken, as attested by the TORs of the specified personnel;
* costs leading to personal or private profit
* any purchases of goods and services for which supporting documents are missing.

Any costs that are not eligible (ineligible costs) can be claimed back from the grantee by SPC. Indirect taxes, such as VAT or GST, are generally considered ineligible costs, unless the grantee or sub-delegate can fully demonstrate they are unable to recover the tax.

1. **Expenditure Verification**

The SPC PACRES Grants beneficiaries must be able to provide full documentary evidence to support the expenditure of the project activities implementation. If records are not in place to demonstrate this, a project may be required to repay money which has already been claimed.

1. **Reporting requirements**

A two to three-page report shall be submitted quarterly to the SPC coordinator by the lead applicant representing the grantee, providing an overview of progress made.

In addition, a full narrative and financial report, highlighting at least 70% use of the funds, shall be submitted to request the next tranche of funding. A model report that must be used will be included in the appendices of the grant agreement. All receipts for expenditures made as part of the project shall be submitted. Scans of receipts, Payment and Procurement documents such as but not limited to solicitation documents, copy of quotes/proposals received , evaluation documents , award of contract, copy of contract/purchase order, Invoice, receipting of delivery, payment voucher, receipt etc. with the full Narrative and Financial Report needs to be provided to request funding to avoid discontinuity in funds but the original copies must be sent to the SPC PACRES coordinator within a month following the request at this address:

Melanie Farman

PACRES Coordinator

Pacific Community

BP D5

98848 Noumea Cedex

New Caledonia

A final report must also be submitted by the end of the grant period.

For information, receipts of expenditure include (but are not limited to) the following:

* + supplier invoices andreceipts
  + purchase orders or purchase requisitions
  + Supplier delivery note/ receipts
  + supplier statements of account
  + contracts/agreements
  + shipping documents
  + per diem and acquitted advance forms
  + air travel tickets and boarding passes
  + procurement tender evaluation dossiers and minutes
  + staff contracts
  + bank statements
  + receipt books.

1. **Grant application support**

Within the framework of PACRES, The University of the South Pacific (USP), is available to provide support to applicants to file grant application for this call. **Any applicant requiring assistance must contact** Prerna Chand, USP PACRES team leader, via email: [prerna.chand@usp.ac.fj](mailto:prerna.chand@usp.ac.fj)

1. **Assessment Criteria**

Funding is awarded to the top-ranking proposal according to the total score. In case of equal scores, the proposal with higher co-benefits beyond adaptation, (e.g. fostering regional cooperation), will be awarded the grant.

Applicants will be selected based on the following evaluation:

|  |  |
| --- | --- |
| 1. Technical coherence | 50 |
| 1. Financial coherence | 30 |
| 1. Sustainability of the activities and replication potential | 15 |
| 1. Complementarity, synergy of the project with other initiatives | 5 |
| Total | 100 points |

|  |  |  |  |
| --- | --- | --- | --- |
| Criteria | Maximum score | Awarded score | Assessor Comments |
| **1. Technical coherence**  •The proposal should demonstrate an understanding of the rationale of PACRES objectives and the specific objective of SPC PACRES third component  •The proposal’s activities must be very clear, coherent, detailed, realistic and feasible in regard to activities, timetable and expected results (with SMART – specific, measurable, achievable, relevant, time bound – indicators).  •The activities should have field application and be monitored.  •The proposal should clearly state how the project support rights-based approach and how the approach and activities are gender responsive. | | | |
| * 1. Do the project activities address in a clear and articulated manner the PACRES objective and outcome?   (Yes perfectly – yes – fairly – slightly –  not at all) Please explain. | **15** |  |  |
| * 1. Is the proposed approach coherent, realistic and include monitoring? Is the approach using best practices and/or innovation including local knowledge and materials?   (Yes perfectly – yes – fairly – slightly –  not at all) Please explain. | **10** |  |  |
| * 1. Does the proposed activities include proper indicators to measure greater food security?   (Yes perfectly – yes – fairly – slightly –  not at all) Please explain. | **10** |  |  |
| * 1. Is the proposed activities build upon past projects and Ridge-to-Reef approach?   (Yes perfectly – yes – fairly – slightly –  not at all) Please explain. | **10** |  |  |
| * 1. Does the project support rights‐based approach? Are the project approach and activities gender‐ responsive?   (Yes perfectly – yes – fairly – slightly –  not at all) Please explain. | **5** |  |  |
| **2. Financial coherence**  The proposal should demonstrate a financial coherence and sufficient quality of the proposed budget. It needs to be consistent with the technical proposal, to prove its cost-efficiency and value for money. | | | |
| 2.1 Is the budget adequate and cost‐ efficient: is the ratio between the estimated costs and the expected results satisfactory?  (Yes perfectly – yes – average –  slightly – not at all) Please explain. | **15** |  |  |
| 2.2 Are all activities appropriately reflected in the budget?  (Yes perfectly – yes – average – slightly  – not at all) Please explain. | **15** |  |  |
| **3. Sustainability of the activities and replication potential**  The proposal should include a clear sustainability plan beyond the end of the project and have a good replication potential. | | | |
| 3.1Does the project include a sustainability plan with details on the foreseen means to be deployed for sustaining in the long term the project outcomes? (Covering financial, institutional, environmental aspects).  (Yes very strongly – strongly – average  – slightly – not at all) Please explain. | **5** |  |  |
| 3.2 Does the project have a good replication potential?  (Yes very strongly – strongly – average  – slightly – not at all) Please explain. | **5** |  |  |
| 3.3 Does the project demonstrate how knowledge acquired will be shared with the authorities as well as to a wider audience?  (Yes very strongly – strongly – average  – slightly – not at all) Please explain. | **5** |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **4. Complementarity, synergy of the project with other** | | | |
| 4.1 Is the project supporting complementarity with existing EU funded projects and other initiatives?  (Yes very strongly – strongly – average  – slightly – not at all) Please explain. | **5** |  |  |
| **TOTAL** | **100** |  |  |

**Annex III**

**CALL FOR ‘Enhancing ecosystem-based shoreline protection and food security in Papua New Guinea’ PROPOSAL**

RFP: 20-077

**Approved Concept Note**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CONCEPT NOTE – GRANT APPLICATION** | | | | | |
| **Organisational Details** | | | | | |
| Legal Name of Applicant Organisation: | |  | | | |
| Office Phone: | |  | | Mobile Phone: |  |
| Fax: | |  | | Email: |  |
| Physical Address (registered): | |  | | | |
| Please indicate which of the following categories the applicant falls under:  a) Governmental entity  b) Legally registered Non-Governmental Organisation entity  c) Education organisations or affiliate  d) For-profit organisation, association or small business  e) Others – please specify | | | | | |
| Authorised Person Contact Details  *The authorised person is the person who is authorised by the applicant organisation to sign a Grant contract.* | | | | | |
| First Name: |  | | | Last Name: |  |
| Job Title: |  | | | | |
| Organisation: |  | | | | |
| Phone: |  | | | Mobile Phone: |  |
| Fax: |  | | | Email: |  |
| Address: |  | | | | |
| Applicant Organisation Profile  *Please provide a brief (1 page maximum) overview of your organisation, including when it was established, what its core business is, a short description of its governance structure (an annotated organisational profile or organogram may be attached) and financial management system or processes.* | | | | | |
|  | | | | | |
| Financial management | | | | | |
| |  |  | | --- | --- | | Is your organisation willing and able to provide annual financial records, accounts, and audit reports for verification by SPC? | Yes No  ☐ ☐ | | Does your organisation have the financial management structure to manage the grants? | Yes No  ☐ ☐ | | Does your organisation have established procurement and financial policies which govern Financial and Procurement activities? (If yes please attach copies) | Yes No  ☐ ☐ | |  |  | | | | | | |
| **Partner(s) in the implementation of the project:** including co-applicant if any | | | | | |
| **Description of Activities** | | | | | |
|  | | | | | |
| Describe the sector that the applicant wants to work in:  Aquaculture, Agriculture, Fuel efficiency, Shoreline protection, including but not limited to mangrove restoration and expansion (tree planting and seedling nursery) | | |  | | |
| **Title of Action** | | |  | | |
| **Location of Action** | | |  | | |
| **List and describe actual action/activities /work that the applicant intends to implement under the sector selected** | | |  | | |
| **Description of the context**  *baseline, results to date, other project’ or program’s results, stakeholders [max 1000 words]* | | |  | | |
| **Approximate Value of Action** | | |  | | |
| **Total duration of action**  **(Provide timeline for each activity if more than 1 stated above)** | | | |  |  |  | | --- | --- | --- | |  | ***2020*** | ***2021*** | | ***Action/activity 1*** |  |  | | ***Action/Activity 2*** |  |  | | ***…*** |  |  | |  |  |  | | | |
| **Target Group** | | |  | | |
| **Final Beneficiaries** | | |  | | |
| **Key stakeholders of the project** | | |  | | |
| **Implementation Schedule – Describe a broad timeline for the Project** | | |  | | |
| **Describe and define the needs and constrains of the target and beneficiary group and how the action will address these needs** | | |  | | |
| Describe the proposed approach the applicant will take to achieve the action/activities defined below | | |  | | |
| **Describe the expected final results** | | |  | | |
| **Alignment with PACRES objective and outcomes**  *Please indicate how the proposed project aligns with PACRES objective and outcomes and builds upon other PACRES activities in the country, as appropriate* | | |  | | |
| **Sustainability / Exit strategy**  *How will this project continue or what type of follow-up will be given to this project?* | | |  | | |
| **Project Risks** | | | | | |
| Describe and rank the four most significant risks that could negatively impact the project. Risks are potential future events that have the potential to negatively impact your ability to achieve the project results and could include financial, environmental or social risks. | | | | | |
| |  |  |  |  | | --- | --- | --- | --- | | Risk | What is the **likelihood** (high, medium or low) that the risk will occur? | If the risk occurs, what would the **impact** (high, medium or low) on the project be? | Mitigation strategy – how will you manage the risk? | |  |  |  |  | |  |  |  |  | | | | | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Proposal budget | | | | |
| **Project costs** | | | | |
| **1) Construction Costs (if applicable)** | | **(A)** | **(B)** | **(A+B)** |
| **SPC Funding Request** | **Applicant contribution** | **Total Costs** |
| *Mobilization / Demobilization* | | $ | $ | $ |
| *Construction (e.g. Buildings/Services/Fees/Wages)* | | $ | $ | $ |
| *Construction Supervisor* | | $ | $ | $ |
| *Consultants/Contractors (e.g. Surveys, Designs, Testing, Architectural)* | | $ | $ | $ |
| *Purchase/Acquisition of materials and equipment* | | $ | $ | $ |
| *Other (provide description):* | | $ | $ | $ |
| ***Sub-Total Construction Costs*** | | **$** | **$** | **$** |
| **2) Non-Construction Costs** | | **SPC Funding Request** | **Applicant-contribution** | **Total Costs** |
| *Staffing costs* | | $ | $ | $ |
| *Office support (office consumables etc)* | |  |  |  |
| *Capacity building / training* | |  |  |  |
| *Travel* | |  |  |  |
| *Other (provide description):* | | $ | $ | $ |
| ***Sub-Total Non-Construction Costs*** | | $ | $ | $ |
|  | | **SPC Funding Request** | **Applicant contribution** | **Total Costs** |
| **3) Project Costs (1 + 2)** | | **$** | **$** | **$** |
| **4) Total** | |  |  | **$** |
| SPC Funding Request | | | | |
| Total funding requested from SPC | EUR | | | |
| List of other donors and their contribution | | | | |
|  | | | | |

**Other Key Information**

|  |
| --- |
|  |

*Submit an updated copy of your business registration certificate, valid business/ enterprise license, and enterprise tax registration*

*Also, submit professionally prepared financial reports for the last 12 months (2019). Please be assured that this will be kept strictly confidential by SPC.*

I hereby certify that the above and attached is true and accurate.

.............................................

Signature of CEO/ Managing Director/General Manager/Manager

Date: ....................................

**Annex IV**

**CALL FOR ‘Enhancing ecosystem-based shoreline protection and food security in Papua New Guinea’ PROPOSAL**

RFP: 20-077

**SER Screening Questionnaire**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **SER Screening Questionnaire** | | **Risk Description** | | **Risk assessment**  to be completed only if the answer is “Yes” under the risk description column | **Score** | |
| **Yes, No, n/a, TBD** | **If no answer, please shortly justify**  **If Yes answer, describe potential issues, specify activities causing the risk identified.**  **characterise the identified risk or impacts (likelihood, intensity, duration, reversibility)**  Indicate the risk localization (local/national/global) | **Where applicable, identify the remedial actions that would mitigate the identified risk** | **Characterize the risk level:**  **Low (L), Medium (M) high (H)** | |
| **1. Labour and Working Conditions** | Will the project present unsafe, indecent or unhealthy working conditions for stakeholders involved? |  |  |  |  | |
| Is there potential for the project to apply adverse discriminatory practices based on religious, racial, gender, disability or political considerations? |  |  |  |  | |
| **2. Climate change** | Could the project adversely contribute to climate change by generating greenhouse gas emissions including through deforestation or forest degradation? |  |  |  |  | |
| Could the project negatively affect the resilience to climate change? |  |  |  |  | |
| **3. Resource Efficiency and Pollution Prevention** | Will the project generate hazardous waste?  Is the project likely to lead to environmental damages due to an uncontrolled management of waste? |  |  |  |  | |
| Is the project likely to lead to pollutants release? Are chemicals (including pesticides) likely to be used during the project? |  |  |  |  | |  | |  |  |
| **4. Human Rights** | Is the project likely to negatively impact on the human rights of the affected populations? (e.g. their rights to water, work, health, to a healthy environment, etc.)? |  |  |  |  | |
| Is the project likely to create less favourable treatment of, or discrimination against, any person or group? |  |  |  |  | |
| **5. Impacts on Affected communities** | Any risk that populations perceive they did not receive enough opportunities to raise their concerns regarding the project? |  |  |  |  | |
| Is there a risk that the project would create or exacerbate conflicts with or within affected populations? |  |  |  |  | |
| Is the project likely to increase community exposure to disease (water borne, water based, water related and vector borne diseases as well as communicable diseases)? |  |  |  |  | |
| **6. Gender** | Is there a likelihood that the project would have adverse impacts on gender equality, and/or the situation of women and girls? |  |  |  |  | |
| Have community groups/leaders raised gender equality concerns regarding the project during the stakeholder engagement process? |  |  |  |  | |
| Would the project potentially limit women’s ability to access or use natural resources upon which they depend for a livelihood? |  |  |  |  | |
| **7. Resettlement** | Could the project involve the physical relocation of people? (encompassing displacement as well as planned relocation) |  |  |  |  | |
| **8. Use of natural resources** | Could the project lead to adverse impacts on biodiversity or natural habitat? |  |  |  |  | |
| Is the project likely to negatively impact a protected area? |  |  |  |  | |
| Is the project likely to introduce invasive alien species to the project area? |  |  |  |  | |
| Is the project likely to restrict People’s access to natural resources and their means of livelihoods? |  |  |  |  | |
| is the project likely to favor unsustainable exploitation of a renewable resource |  |  |  |  | |
| **9. Peoples right and tenure** | Is the project likely to negatively affect Peoples or communities rights: rights of affected populations, including procedural rights such as the right to be consulted or to have access to information, or substantive rights (real or personal) such as the right of access to natural resources or benefit-sharing related to these natural resources (carbon rights, benefits from access to genetic resources ...). |  |  |  |  | |
| Could the project require the relocation of Peoples from their homes or lands subject to traditional ownership or customary use? |  |  |  |  | |
| **10. Cultural heritage** | Is the project likely to negatively affect cultural heritage? |  |  |  |  | |
| Is the project likely to negatively affect a legally protected cultural heritage area? |  |  |  |  | |
| Risk categorization process | | | * If only L on the right hand column, then the project is Low risk > no further assessment is required * If one or more M then the project is Medium risk > further assessment is required to formulate alternatives * If one of more H, > topic assessment is compulsory , including for the assessment of credible alternatives (NB: the project may have to be categorized as Medium or High risk depending on the outcome of the ESIA) | | |  | |

**Conclusion:**

- Risk Categorization (tick the relevant answer in the right hand box): - Low - Medium - High

**Recommendations for next steps:**

- Is further assessment needed (Please specify if it is a topic or full Environmental and Social Impact Assessment, as well as in which areas or on which topic(s) any such further assessment should be conducted):

|  |  |
| --- | --- |
| Topics/areas to be further assessed | Type of Assessment |
|  |  |
|  |  |
|  |  |
|  |  |

I, undersigned, Mr/Ms XX, hereby certify that I have answered this Questionnaire truthfully and to the best of my knowledge.

Signature:

**Note:**

**Applicants with proposed projects operating in both Provinces might want to consider filling two questionnaires or to split the cells to reflect activities undertaken in both locations.**

**Annex V**

**CALL FOR ‘Enhancing ecosystem-based shoreline protection and food security in Papua New Guinea’ PROPOSAL**

RFP: 20-077

**Applicant Declaration**

The applicant, represented by the undersigned, being the authorised signatory of the applicant, in the context of the present SPC PACRES call for Grant proposals, representing any co‐ applicant(s) in the proposed action, hereby declares that:

* the applicant and each co‐applicant (if any) are eligible in accordance with the criteria set out in the Guidelines for Applicants;
* the applicant has sufficient financial capacity to carry out the proposed action or work programme;
* the applicant certifies the legal statutes of the applicant and of the co‐applicant(s) as reported in the application;
* the applicant undertakes to comply with the principles of good partnership practice;
* the applicant is directly responsible for the preparation, management and implementation of the action with the co‐applicant(s), if any, and is not acting as an intermediary;
* The applicant and the co‐applicant(s) are not in any of the situations excluding them from participating in contracts which are listed hereafter:

(1) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;

(2) they have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata;

(3) they have been guilty of grave professional misconduct proven by any means which the applicant can justify;

(4) they have not fulfilled obligations relating to the payment of social security contributions or the payment of taxes in accordance with the legal provisions of the country in which they are established or with those of the country of the applicant or those of the country where the contract is to be performed;

(5) they have been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the Communities' financial interests;

The authorised signatory of the third party must certify that he is not in one of the situations listed above and signed on behalf of the third party.

Furthermore, it is recognised and accepted that if the applicant and co‐applicant(s) (if any) participate in spite of being in any of these situations, they may be excluded from other procedures;

* the applicant and the co‐applicant(s) are aware that, for the purposes of safeguarding the financial interests of the EU, their personal data may be transferred to internal audit services, to the European Court of Auditors, to the Financial Irregularities Panel or to the European Anti‐Fraud Office.
* The applicant is fully aware of the obligation to inform without delay the SPC PACRES coordinator to which this application is submitted if the same application for funding made to other European Commission departments or European Union institutions has been approved by them after the submission of this grant application.

Signed on behalf of the applicant

|  |  |
| --- | --- |
| Name of the Organisation |  |
| Address |  |
| Contact details |  |
| Name of the Responsible Person (Block capital) |  |
| Position |  |
| Signature + Stamp |  |
| Date |  |

**Annex VI**

**CALL FOR ‘Enhancing ecosystem-based shoreline protection and food security in Papua New Guinea’ PROPOSAL**

RFP: 20-077

**Document Checklist**

I ……………………………………………………………………………………………. (insert name),

of …………………………………………………………………………………………. (insert Enterprise name)

confirm that the following application is made for support under SPC PACRES.

I confirm that I have read the guidelines for the completion and submission of this application and are aware of the eligibility and evaluation criteria.

I hereby submit the documents listed below for consideration:

*(Please tick in the appropriate box where documents have been submitted)*

|  |  |
| --- | --- |
|  | Completed Concept Note |
|  | SER Screening Questionnaire |
|  | Applicant Declaration |
|  | Enterprise Registration Certificate |
|  | Enterprise Tax Registration |
|  | 2018 and 2019 Financial Accounts |
|  | List any additional Support Documents provided: |

Yours faithfully,

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Print name and sign Date

Title\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_