

CALL FOR PROPOSAL (CFP)

SINGLE STAGE

Project Title:	Ecosystem based Adaptation projects in Savaii, Samoa for integrated flood management to enhance climate resilience
Nature of the Call:	The Pacific Community (SPC) through the Intra-ACP GCCA+ Pacific Adaptation to Climate Change and Resilience Building (PACRES), would like to invite interested registered organisations, businesses, associations, and NGOs to submit a proposal for the third Key Result Area of PACRES: 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.
Location:	Actions must take place in Savaii, Samoa
Total amount available:	EUR 100,000 equivalent to WST 283,065.68
Maximum amount per grant/per category	EUR 20,000 equivalent to WST 56,614
Date of issue:	29/04/2022
Closing Date:	30/05/2022
SPC Reference:	CFP22-3630

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Part 1: GUIDELINES FOR APPLICANTS - INTRODUCTION

1.1 About the Pacific Community (SPC)

The Pacific Community (SPC) is the principal scientific and technical organisation of the Pacific region, established by treaty in 1947 with the signing of the Agreement Establishing the South Pacific Commission (the Canberra Agreement).

SPC has our headquarters in Noumea, New Caledonia and has regional offices in Fiji, the Federated States of Micronesia and Vanuatu, as well as offices in the Solomon Islands and France. SPC works across the Pacific and has staff in nearly all of our Pacific Island Country and Territory members.

SPC works for the well-being of Pacific people through the effective and innovative application of science and knowledge and is guided by a deep understanding of Pacific Island contexts and cultures. Our unique organisation covers more than 20 sectors and is renowned for knowledge and innovation in such areas as fisheries science, public health surveillance, geoscience and conservation of plant genetic resources for food security.

For more information about SPC and the work that we do, please visit our website: <https://www.spc.int/>.

1.2 SPC's grant activities

SPC's grant activities are guided by the principles of **high ethical standards** (accountability and transparency, freedom from perceived impropriety and influence, no conflicts of interest, confidentiality and proprietary information), **risk management** and **social and environmental responsibility** and are carried out under our [Grant Policy](#).

SPC's *Grant Policy* provides the framework for ensuring that SPC ensure integrity and compliance with international standards along the grant process; demonstrates financial probity and accountability to its members and development partners; manages and prevents the potential for conflicts of interest and manages any other risks.

At SPC, A grant may be used to:

- a) enable an implementing partner to deliver activities or outcomes under a project or programme;
- b) develop the capacity of implementing partners;
- c) deepen the partnership with an implementing partner and build co-ownership of the outcomes.

Different procedures apply depending on the nature of the grant, the objective of the overall project, the requirements of SPC donors and the potential partners identified.

Any grant awarded by SPC must comply with the following principles:

- **Co-financing:** applicants must support the implementation of actions either by contributing their own resources (i.e. staff time) or by providing funding from third parties (in the form of public or private assistance obtained elsewhere).
- **Non-retroactivity:** In no circumstances will SPC award a grant for actions that are already completed.
- **Non-cumulation:** the total amount awarded in the grant agreement is a maximum amount. The amount cannot be increased or accumulated in any circumstances.
- **No-profit rule:** no grant may give rise to profits (i.e. income and expenditure for the action must balance). The no-profit rule applies to the action and not necessarily to the grant beneficiary.

For further information or enquiries about SPC's grant activities, please visit the procurement pages on our website: <https://www.spc.int/grants> or email: grants@spc.int.

1.3 SPC's Call for Proposal (CFP) Process

At SPC, Grants can be awarded to implementing partners through a competitive call for proposals which can take two forms:

- Single stage competitive grant modality (Single stage CFP)
- Multi-stage competitive grant modality (Multistage CFP)

A single-phase CFP is an open and public invitation to entities working in the field covered by the CFP and seeking funding for the implementation of their action. Applicants responding to the CFP will have their proposals assessed by SPC in accordance with the terms of the CFP and will be awarded a grant if their project meets the requirements set out in the CFP and depending on the funds available.

A multi-stage CFP awards a grant through pre-qualification of applicants on the basis of calls for expressions of interest (EOI), and then provides for a capacity development stage - proposal design and submission - during which SPC supports applicants that have met the EOI criteria, followed by a formal call for proposals.

The multi-stage CFP provides a fair chance for small organisations with limited capacity (e.g. community-based organisations, the informal sector, etc.) to access grants through a process that allows them to receive support in preparing proposal documents and submission.

This CFP is a single stage CFP that sets out SPC's requirements for a project to be eligible. This CFP asks you, as an applicant, to submit your proposal in a prescribed format, trying to be as detailed and precise as possible and not omitting to attach the requested supporting documents.

The CFP contains detailed instructions and templates to enable you to submit a compliant proposal. It sets out the overall timetable; it confirms the evaluation criteria that SPC will use to evaluate proposals; it explains the administrative arrangements for receiving proposals and indicates how applicants can request further information.

Your participation confirms your acceptance of SPC's conditions of participation in the CFP process.

Part 2: GUIDELINES FOR APPLICANTS – GENERAL INSTRUCTIONS

2.1 Background

SPC invites you to submit your project proposal in order to be eligible for a grant to contribute to its funding and implementation in accordance with the provisions set out in [Part 3](#) and [Part 4](#).

SPC has advertised this CFP on its website and may send it directly to pre-identified potential applicants. The same conditions and submission requirements will be requested from all applicants.

SPC has compiled these instructions to guide potential applicants and to ensure that all applicants receive equal and fair consideration.

Please read the instructions carefully before submitting your application. In order for your proposal to be considered, you must provide all prescribed information by the closing date and in the specified format.

2.2 Submission instructions

Your proposal must be clear, concise and complete and must include only the information necessary to respond effectively to the call for proposals. Please note that you may be downgraded or excluded from the grant award process if your submission contains ambiguities or lacks clarity.

Your proposal must include the following documents which form [Part 5](#) of the CFP:

- a. Annex 1: Administrative form;
- b. Annex 2: Concept note;
- c. Annex 3: Budget;
- d. Annex 4: SER questionnaire;
- e. Annex 5: Project risks identification;
- f. Annex 6: Applicant declaration;
- g. Annex 7: Conflict of interest declaration.

2.2.1 Electronic submission

Your proposal must contain all supporting documents and be submitted in English or in Samoan in as a single attachment by email to grants@spc.int with the following subject line: **CFP 22-3630**.

All applications submitted must be in Word or PDF formats. Please note the maximum capacity for SPC email boxes is 10Mb.

Your proposal must be received no later than **30/05/2022 by 5PM, Noumea time**. Only one proposal per applicant is permitted.

SPC will send an official acknowledgement of receipt to each proposal received by the closing date.

2.2.2 Paper submission

In the event that an applicant is technically unable to send their proposal in digital format to the email address grants@spc.int, they may submit or send a paper copy of their application to the SPREP office in Samoa, located at:

SPREP HQ, Avele Rd,
Apia, Samoa

The paper proposal should be received by SPREP before the CFP closing date in a sealed envelope to the attention of **Laura Mitchell, PACRES Finance et Administration Officer** and marked: **CFP 22-3630 CONFIDENTIAL**.

Upon receipt, the SPREP contact person will send a message to SPC to certify receipt of the proposal and will promptly send a scanned version of the proposal by email to grant@spc.int with the following subject line: **CFP 22-3630**.

SPC will send an official acknowledgement of receipt to each proposal received from the SPREP Office in Samoa by the closing date.

All written proposals received by SPREP will be kept confidential by the person in charge until the end of the award process and will then be destroyed.

2.2.3 Exclusion of a submission

SPC reserves the right to exclude from consideration any proposal not received by the deadline, with incomplete information or in incorrect form.

2.3 Clarifications

You may submit questions or seek clarifications on any issue relating to this CFP. The questions are to be submitted in writing to grants@spc.int with the subject line: Clarification **CFP [22-3630]**. The deadline for submission of clarifications is **20/05/2022** by, **5 PM Noumea time** .

Details will be kept of any communications between SPC and applicants. This assists SPC to ensure transparency of the grant award process. While SPC prefers written communication in the CFP process, at any point where there is phone call or other conversation, SPC will keep a record or a file note of the exchange with applicants.

2.4 Evaluation

Preliminary checks

Each proposal received will be assessed by SPC for compliance with the eligibility criteria and submission requirements set out in this CFP.

To assist in the examination, evaluation and comparison of proposals, SPC may ask the bidder for clarification of its proposal or additional information. The request for clarification will be in writing.

If a proposal is responsive, it will proceed to evaluation. If a proposal is found to be not responsive, it will be excluded from further evaluation.

Capacity and risk assessments

SPC will undertake an assessment of the operational capacity of each applicant to determine their ability to manage a grant in accordance with the requirements set out in this CFP and in accordance with the provisions of *SPC Grant Policy*.

In this context, the applicant will be required to complete and submit a capacity assessment questionnaire and provide supporting documentation.

Projects evaluation

All valid proposals will be assessed against the evaluation criteria set out in [Part 4](#). The criteria are provided with weighted scores according to the relative importance of each. SPC will not change the evaluation criteria set out in the CFP at any stage of the grant process.

The evaluation of the proposals is carried out in two stages:

- In the first stage, all proposals will be evaluated in accordance with the evaluation criteria set out in [Part 4](#), by a dedicated Evaluation Subcommittee which will propose a ranking of all proposals received.
- In the second stage, the Procurement Committee will make the final evaluation of the applications taking into account the ranking established by the Evaluation Subcommittee, the findings of the respective capacity assessments of the applicants and the overall value of grants to be awarded.

Following the evaluation of all proposals, SPC may, without limiting the other options available to it, decide not to proceed with the CFP process or to launch a new CFP process on a similar or different basis to that described in this call.

2.5 Grant award

SPC may award one or more grants to one or more beneficiaries upon decision of the Procurement Committee subject to availability of funds. The award of a grant is made by signing a grant agreement.

Details of grants that have been awarded will be published on the SPC website within 30 days (including name of the successful grantee(s), nature of the grant, description of the project, amount of the grant, start and end dates of the activity and geographical scope of the activity).

Unsuccessful applicants will be notified, and feedback will be provided on their submissions if requested.

SPC's standard terms and conditions for grant agreements will apply to any grant awarded under this CFP, unless otherwise agreed. Any requested changes to the standard terms and conditions for grant agreements must be foreshadowed in the submission.

2.6 Key dates

You are invited to submit your project proposal according to the instructions and criteria detailed in out in [Part 3](#) and [Part 4](#) of this CFP by **5PM, Noumea time, on 30/05/2022**.

Please see the proposed grant timetable in the table below. This timetable is intended as a guide only and while SPC does not intend to depart from the timetable, it reserves the right to do so at any stage.

STAGE	DATE
CFP advertised	29/04/2022
Deadline for seeking clarification	20/05/2022
CFP Closing Date	30/05/2022
Award of a Grant	15/07/2022
Commencement of Grant Agreement/Project implementation	1/08/2022
Conclusion of Grant Agreement/end of Project	30/06/2023

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2.7 Legal and compliance

Child and vulnerable adult protection: SPC is committed to the well-being of children and vulnerable adults. All SPC grantees are required to commit to the principles of SPC's Child and Vulnerable Adult Protection Policy ([XI.G Manual of Staff Policies](#)). Breach of this requirement can result in SPC terminating any Grant Agreement with a grantee. Any allegations of potential misconduct in relation to this CFP involving children or vulnerable adults should be sent to complaints@spc.int.

Confidentiality: Unless otherwise agreed by SPC in advance or where the contents of the CFP are already in the public domain when shared with the applicant, applicants shall at all times treat the contents of the CFP and any documents related to the grant award process as confidential. SPC will also treat the information it receives from the applicants as confidential during the entire grant award process.

Conflict of interest: Applicants must take all necessary measures to prevent any situation of conflict of interest. You must notify SPC in writing as soon as possible of any situation that could constitute a conflict of interest during the CFP process. If you have any familial connection with SPC staff, this must be declared, and approval will then be sought for you to engage in the grant award process. Breach of this requirement can result in the exclusion of the applicant from the CFP process or in SPC terminating any grant agreement with a grantee.

Cost of preparation of submissions: Under no circumstances will SPC be liable for any proposal submission costs, expenditure, work or effort that you may incur in relation to your provision of a proposal (including if the grant process is terminated or amended by SPC).

Currency, amount and taxes: Unless otherwise requested, all proposals must include a provisional budget in EURO and indicate the overall cost of each activity by item of expenditure without adding charges or taxes. If the project is selected, the total amount of the grant mentioned in the grant agreement is a total and final amount. Under no circumstances may the beneficiary request an increase or accumulation of the amount of the grant awarded. No price variation due to escalation, inflation, exchange rate fluctuations or any other market factor can constitute a valid justification for requesting an increase in the amount. If additional funding is required, a new grant process must be initiated.

Eligibility: Applicants are required to disclose to SPC whether they are subject to any sanction or temporary suspension imposed by any international organisation, or whether they are subject to bankruptcy proceedings. You may not be bankrupt or suspended, debarred, or otherwise identified as ineligible by any international organisation. Failure to disclose such information may result in debarment and termination of any grant agreement issued to the grantee by SPC.

Fraud and corruption: SPC has zero tolerance for fraud and corruption. All grantees have an obligation to report potential fraud and corruption. Breach of this requirement can result in the exclusion of the applicant from the CFP process or in SPC terminating any grant agreement with a grantee. Allegations of potential misconduct by an SPC staff member or applicant involving fraud or corruption can be sent to complaints@spc.int.

Good faith: The information in this CFP is provided by SPC in good faith. No representation, warranty, assurance or undertaking (express or implied) is or will be made, and no responsibility or liability will be accepted by SPC in relation to the adequacy, accuracy, completeness or reasonableness of this CFP or any information provided by SPC in relation to this CFP.

Modifications: Any clarifications, corrections or modifications will be published on the SPC website prior to deadline. In the event an applicant has submitted a project before the clarification, correction or modification, the applicant will be informed and may modify its proposal. The modified proposal will still need to be received before the deadline.

No offer of a grant: This CFP does not constitute an offer of a grant or an invitation from SPC to enter into a grant agreement with you.

Privacy: The Applicant is to comply with the requirements of applicable legislation and regulatory requirements in force for the use of personal data that is disclosed for the purposes of this CFP. SPC will handle any personal information it receives under the CFP in line with its [Grant Policy](#), [Privacy Policy](#), and the [Guidelines for handling personal information of bidders and grantees](#). Applicants understand that their proposal and their personal information will be stored and used by SPC in accordance with this Policy and Guidelines.

Right to amend, seek clarity, withdraw, not award: SPC reserves the right to: (1) amend, add to or withdraw all or any part of this CFP at any time, or to re-invite applicants on the same or any alternative basis; (2) seek clarification or documents in respect of any applicant's proposal; (3) choose not to award a grant as a result of this CFP; (4) make whatever changes it sees fit to the timetable, structure or content of the grant process, depending on approvals processes or for any other reason. Please note that while SPC will not change the evaluation criteria set out in the CFP without the CFP process being re-issued, SPC does reserve the right at the time of award of a grant to vary the requirements for the project to be implemented by the grantee specified in the CFP and to accept or reject any proposal at any time prior to award a grant without incurring any liability to the affected applicant or any obligation to inform the affected applicant(s) of the grounds for SPC's action.

Right to disqualify: SPC reserves the right to disqualify: (1) any applicant that does not submit a proposal in accordance with the instructions in this CFP; (2) any applicant that misrepresents information to SPC; (3) any applicant that directly or indirectly canvasses any SPC employee concerning the award of a grant.

Use of material: Applicants shall not use the contents of the CFP or any related material for any purpose other than for the purpose of considering submitting, or submitting their proposal to SPC.

Warranty, representation, assurance, undertaking: The applicant acknowledges and agrees that no person has any authority to give any warranty, representation, assurance or undertaking on behalf of SPC in connection with any grant which may (or may not) follow on from this CFP process.

2.8 Complaints process

Applicants that consider they were not treated fairly during any SPC grant award process may lodge a protest. The protest should be addressed to complaints@spc.int. The Applicant must provide the following information: (1) full contact details; (2) details of the relevant CFP; (3) reasons for the protest, including how the alleged behaviour negatively impacted the applicant; (4) copies of any documents supporting grounds for protest; (5) the relief that is sought.

Part 3: GUIDELINES FOR APPLICANTS - DESCRIPTION OF THE CFP AND ITS CONTEXT

3.1 Key points

- The proposed projects must take place in Savaii, Samoa ([Section 3.7](#)).
- The proposed projects must be ecosystem-based adaptation activities in the following sector: **integrated flood management to enhance climate resilience** ([Section 3.4](#))
- The funding requested must not exceed **€ 20,000 –twenty thousand euros equivalent to WST 56,614** ([Section 4.3](#))
- Applicants can request support to file their proposition to the University of South Pacific ([Section 3.8](#)).

3.2 Background/Preliminary

The EU-funded Itra-ACP GCCA+ Pacific Adaptation to Climate Change and Resilience Building (PACRES) Project 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 TimorLeste – 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.

3.3 Purpose, specific objectives

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”.

SPC PACRES is scaling up the Civil Support Programme (CSSP) call for proposals on ‘integrated flood management to enhance climate resilience of the vaisigano river catchment in Samoa’.

SPC grant facility is looking at scaling up the Civil Support Programme (CSSP) grants mechanism for the Ecosystem-based Adaptation Enterprise Development Programme, under the Vaisigano Catchment Project (GCF-VCP), which is operationalizing a comprehensive flood management solution. The project is funded by the Green Climate Fund (GCF), the Vaisigano Catchment Project (VCP) and the Government of Samoa. The grants are funding ecosystem-based activities that mitigates flooding in the Vaisagano River Catchment area (Upolu) and covers 31 villages.

Under PACRES, SPC opens a call for proposals to fund ecosystem-based projects that mitigates flooding in river catchments in **Savaii**.

3.4 Expected action/activities

3.4.1 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 31st of July 2023;
- Include reporting on achievements;
- Have long term impact;
- Be reproducible, and/or serves as a demonstration.
- Must have written land consent or authorization to go ahead in the proposed location, in Savaii.

3.4.2 Sectors and / or themes covered by eligible activities (with indicative examples of eligible activities)

The proposed projects must be ecosystem-based adaptation activities in the following sector: flood management to enhance climate resilience.

What is Ecosystem-based Adaptation (EbA)?

Ecosystem-based adaptation is a strategy for adapting to climate change that harnesses nature-based solutions and ecosystem services.

For instance, protecting coastal habitats like mangroves provides natural flood defenses and water bodies like rivers and lakes provide natural drainage to reduce flooding. (UNEP 2018)

Examples of EbA for flood management includes, but is not limited to:

- Riverbank stabilization;
- Reforestation;
- Mangrove restoration;
- Retention areas;

3.5 Timelines

- Start Date: The project start date must be on or later than the 1st of August 2022.
- End date: The latest possible end date is 30st June 2023. Projects must end on or before this date.

All project activities and deliverables must be completed by the project end date.

SPC PACRES Grants can have a maximum duration of 11 months and must comply with the start and end dates stated above.

3.6 Reporting obligations

3.6.1 Expenditure Verification

SPC PACRES will retain 5% of the last payment until all acquittals and reports have been submitted.

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.

3.6.2 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 in original format or in electronic copy 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 or receipts
- purchase orders or purchase requisitions
- delivery 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.

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.

Specific reporting obligations will be decided by SPC in the grant agreement, in accordance with the results of the capacity assessment of the potential beneficiaries.

3.7 Location

Actions must take place in **Savaii, Samoa**.

3.8 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 Ms. Linda Vaike, USP PACRES, via email: linda.vaike@usp.ac.fj.

Part 4: GUIDELINES FOR APPLICANTS- ELIGIBILITY CRITERIA FOR RECEIVING FUNDS

4.1 General information about eligibility criteria

There are three sets of eligibility criteria, relating to:

- a) Applicants ([Section 4.2](#))
 - the lead applicant, i.e. the entity submitting the application form and who will ultimately be awarded a grant on behalf of themselves and their co-applicants, if any;
 - if any, its co-applicant(s) (the lead applicant and its co-applicants are jointly referred to as the “applicants”).
- b) Actions for which a grant may be awarded ([Section 4.3](#))
- c) Costs ([Section 4.4](#))
 - the types of costs that may be taken into account in setting the amount of the grant.

4.2 Eligibility of the applicants

4.2.1 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 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 grantees are summarised 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 agreement. 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.

4.2.2 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 co-sign the Applicant declaration included as [Annex 6](#) to the CFP. If awarded the grant agreement, the co-applicant(s) (if any) will become beneficiary(ies) in the

project (together with the lead applicant as coordinator). They are responsible to the lead applicant for the proper implementation of the project and must respect the terms of the grant agreement.

4.2.3 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](#)). 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 the dedicated declaration provided in [Annex 6](#).

4.3 Eligible actions

4.3.1 Definition

An action is composed of a set of activities. Applicants must state precisely in their proposal which activities will be undertaken and specify by item of expenditure for which activities a grant is requested.

4.3.2 Size of grants

The funding requested from SPC for the implementation of the action must not exceed a maximum budget of €20,000 **equivalent to WST 56,614**. The total cost of the project may be higher but the funding budget requested from SPC must remain within the €20,000 (**WST 56,614**) limit.

4.3.3 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.

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

4.3.4 Ineligible actions

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.

4.4 Eligibility of costs

4.4.1 Eligible costs

Only eligible costs will be funded by SPC 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 efficiency.

Beneficiaries must take care to avoid any unnecessary or excessively high expenditure.

4.4.2 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 that the relevant public authority would not carry out if the action was not undertaken, as attested by contract, mission letter or terms of reference 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 (i.e. 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 can fully demonstrate they are unable to recover the tax.

4.5 Evaluation criteria

Funding is awarded to the top-ranking proposals 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.

Short listed applicants will need to undergo an operational capacity assessment.

Applicants will be selected based on the following evaluation criteria:

Criteria	Maximum score
1) Relevance <ul style="list-style-type: none"> The proposal should demonstrate an understanding of the rationale of PACRES objectives and the specific objective of SPC PACRES third component The activities should have field application and be monitored. 	
1.1 Do the project activities address in a clear and articulated manner the PACRES objective and outcome?	6
1.2 Is the proposed approach coherent, realistic and include monitoring? Is the approach using best practices and/or innovation including local knowledge and materials?	7
2) Vulnerability The project should take into consideration the level of vulnerability of the community it is targeting	
2.1 Does the proposal identify clear and strong linkages to achieving community aspirations, EbA activities, and national policy and plans? How clearly defined are the beneficiaries and their needs?	7
2.2 What is ranking of the Proposal's targeted location (in terms of isolation from the Capital? What is the level of climate change impact (effect of natural disasters)? What is the state of income (source of income, number of people employed, etc)?	15
3) Effectiveness and efficiency 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)	
3.1 Are the project activities appropriate, practical and consistent to achieving its overall goal and ensure maximum impact for targeted beneficiaries? Is the logical framework clear and feasible in informing its work plan, financial plan/budget and monitoring and evaluation framework?	10
3.2 How necessary are the expenditures for the proposed project? Is the manner, in which project activities will be implemented, can achieve value for money? Is the work plan feasible and doable in the proposed timeframes?	10
4) Impact The proposal should anticipate its impact both positive and negative on the environment, social, and cultural aspect of the communities it is working with	
4.1 Does the proposal identify risks and realistic strategies to mitigate those risks, with clear assignment of responsibilities and timeframes? Is the project likely to have adverse environment & social impacts? If so, are there sufficient plans for managing this and ways to reduce the damage? Is the EbA activity culturally appropriate?	10
4.2 Do the organisation and proposed project support rights-based approach? Are the organisation and the project approach gender-responsive?	10
5) 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	

5.1 Does 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).	10
5.2 Does the project have a good replication potential?	5
5.3 Does the project demonstrate how knowledge acquired will be shared with the authorities as well as to a wider audience?	5
6) Complementarity, synergy of the project with other	
6.1 Is the project supporting complementarity with existing EU funded projects and other initiatives?	5
TOTAL	100

Part 5: APPLICATIONS FORMS

ANNEX 1: ADMINISTRATIVE FORM

ADMINISTRATIVE FORM – GRANT APPLICATION			
<i>Organisational Details</i>			
Legal name:	<i>[Insert legal name of the applicant]</i>		
Address:	<i>[Insert physical address of the applicant]</i>		
Phone number:	<i>[Phone number]</i>	Email:	<i>[email address]</i>
Please indicate which of the following categories the applicant falls under:			
<input type="checkbox"/>	Governmental or public entity	<input type="checkbox"/>	Non-profit entity (association, NGO, etc.)
<input type="checkbox"/>	Education organisation or affiliate	<input type="checkbox"/>	For-profit entity (company, etc.)
<input type="checkbox"/>	Other – please specify: <i>[Mention other category]</i>		
Supporting documents: please submit a copy of your organisation registration certificate or license.			
<i>Authorised person contact details</i>			
The authorised person is the person who is authorised by the applicant organisation to sign a Grant agreement (representative of the applicant)			
Name:	<i>[insert name of representative]</i>	Title:	<i>[insert title of representative]</i>
Phone number:	<i>[Phone number]</i>	Email:	<i>[email address]</i>
<i>Applicant Organisation Profile</i>			
<i>[Please provide a brief overview (maximum 1 page) of your organisation, including its date of establishment, its main activity, a brief description of its governance structure and its financial management system or processes]</i>			
Supporting documents: presentation document of the organisation, governance document, organigram, etc.			
<i>Financial management</i>			
Is your organisation willing and able to provide annual financial records, accounts, and audit reports for verification by SPC?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your organisation have the financial management structure/system to manage the grants?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Does your organisation have established procurement and financial policies which govern Financial and Procurement activities?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Supporting documents: annual financial report, audit reports, financial and procurement policies or guidelines			

For the Applicant: *[insert name of the organisation]*

Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

ANNEX 2: CONCEPT NOTE

CONCEPT NOTE – GRANT APPLICATION	
SPC requirements	Applicant's proposal
<i>Description of the action and activities</i>	
Title of the action:	<i>[mention the title of the action]</i>
Sector:	<i>[The proposed projects must be ecosystem-based adaptation activities in the following sector: flood management to enhance climate resilience.]</i>
Location:	<i>[Insert location]</i>
Detail of the activities to be implemented:	<i>[List and describe actual action/activities /work that the applicant intends to implement under the sector selected]</i>
Description of the context:	<i>[baseline, results to date, other project' or programs results, stakeholders [max 1000 words]</i>
<i>Value and timeline of the action</i>	
Approximate Value of the action:	<i>[Insert approximate value of the action]</i>
Total duration of action:	<i>[Provide timeline for each activity if more than one stated above]</i>
Implementation Schedule	<i>[Describe a broad timeline for the Project]</i>
<i>Expected results</i>	
Target group	<i>[Mention the expected target group]</i>
Final beneficiaries	<i>[Mention the expected and targeted final beneficiaries]</i>
Key stakeholders of the project	<i>[Mention what are the key stakeholders expected in the project]</i>
Expected results on target group and final beneficiaries	<i>[Describe and define the needs and constraints of the target and beneficiary group and how the action will address these needs and how the impact on them will be measured]</i>
Expected final results of the project	<i>[Describe the expected final results]</i>
Alignment with PACRES objective and outcomes	<i>[Please indicate how the proposed project aligns with PACRES objective and outcomes and builds upon other PACRES activities in the country, as appropriate]</i>
Sustainability - Exit strategy	<i>[How will this project continue or what type of follow-up will be given to this project?]</i>
<i>Other (open section for the applicant)</i>	
<i>[Insert any other detail related to the project]</i>	

For the Applicant: *[insert name of the organisation]*

Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

ANNEX 3: BUDGET

BUDGET – GRANT APPLICATION			
The amount of the activities in the budget must be presented in Euros (€)			
Title of the action:	<i>[mention the title of the action]</i>		
Item of expenditure	(A)	(B)	(A+B)
	SPC Funding Request	Applicant contribution	Total Costs
<i>Activity 1 - [name of Activity 1] - Project costs</i>			
<i>[Describe precisely the expenses required to implement Activity 1: purchase of equipment, use of a consultant, working time of a scientist, hire of a room, rent of a car, lunch, travel, etc.]</i>	€	€	€
<i>[Describe the expenses required to implement Activity 1]</i>	€	€	€
<i>[Describe the expenses required to implement Activity 1]</i>	€	€	€
<i>[Provide details on every expense]</i>	€	€	€
Sub-Total Activity 1 Project costs			
<i>Activity 2 – [name of Activity 2] - Project costs</i>			
<i>[Describe the expenses required to implement Activity 2]</i>	€	€	€
<i>[Describe the expenses required to implement Activity 2]</i>	€	€	€
<i>[Describe the expenses required to implement Activity 2]</i>	€	€	€
<i>[Provide details on every expense]</i>	€	€	€
Sub-Total Activity 2 Project costs	€	€	€
<i>Activity 3 – [name of Activity 3] - Project costs</i>			
<i>[Describe the expenses required to implement Activity 3]</i>	€	€	€
<i>[Describe the expenses required to implement Activity 3]</i>	€	€	€
<i>[Provide details on every expense]</i>	€	€	€
Sub-Total Activity 3 Project costs	€	€	€
Grand total of the Action (Activity 1+ 2+3)	€	€	€

<i>List of other donors or financial partners to the project and their contribution</i>	
<i>[name of donor 1]</i>	€
<i>[name of donor 2]</i>	€
<i>[name of donor 3]</i>	€

<i>Other (open section for the applicant)</i>
<i>[Insert any other detail related to the budget]</i>

For the Applicant: <i>[insert name of the organisation]</i>
Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

ANNEX 4: SOCIAL AND ENVIRONMENTAL RESPONSIBILITY (SER) SCREENING QUESTIONNAIRE

SER SCREENING QUESTIONNAIRE – GRANT APPLICATION	
<i>1. Labour and Working conditions</i>	
1.1 Will the project present unsafe, indecent or unhealthy working conditions for stakeholders involved?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[Where applicable 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)]</i>
Risk assessment	<i>[Where applicable, identify the remedial actions that would mitigate the identified risk]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
1.2 Is there potential for the project to apply adverse discriminatory practices based on religious, racial, gender, disability or political considerations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
<i>2. Climate change</i>	
2.1 Could the project adversely contribute to climate change by generating greenhouse gas emissions including through deforestation or forest degradation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
2.2 Could the project negatively affect the resilience to climate change?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
<i>3. Resource Efficiency and Pollution Prevention</i>	
3.1 Will the project generate hazardous waste? Is the project likely to lead to environmental damages due to an uncontrolled management of waste?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>

Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
3.2 Is the project likely to lead to pollutants release? Are chemicals (including pesticides) likely to be used during the project?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>

4. Human Rights	
4.1 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.)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
4.2 Is the project likely to create less favourable treatment of, or discrimination against, any person or group?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>

5. Impacts on Affected Communities	
5.1 Any risk that populations perceive they did not receive enough opportunities to raise their concerns regarding the project?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
5.2 Is there a risk that the project would create or exacerbate conflicts with or within affected populations?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
5.3 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)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>

6. Gender	
6.1 Is there a likelihood that the project would have adverse impacts on gender equality, and/or the situation of women and girls?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
6.2 Have community groups/leaders raised gender equality concerns regarding the project during the stakeholder engagement process?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
6.3 Would the project potentially limit women's ability to access or use natural resources upon which they depend for a livelihood?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>

7. Resettlement	
7.1 Could the project involve the physical relocation of people? (encompassing displacement as well as planned relocation)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>

8. Use of natural resources	
8.1 Could the project lead to adverse impacts on biodiversity or natural habitat?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
8.2 Is the project likely to negatively impact a protected area?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>
Risk assessment	<i>[insert risk assessment]</i>
Score the risk level	<i>[Choose between high, medium and low]</i>
8.3 Is the project likely to introduce invasive alien species to the project area?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.	
Risk Description	<i>[insert risk description]</i>

Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	
8.4 Is the project likely to restrict People's access to natural resources and their means of livelihoods?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.		
Risk Description	<i>[insert risk description]</i>	
Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	
8.5 is the project likely to favour unsustainable exploitation of a renewable resource?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.		
Risk Description	<i>[insert risk description]</i>	
Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	

9. Peoples right and tenure

9.1 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 ...).	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.		
Risk Description	<i>[insert risk description]</i>	
Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	
9.2 Could the project require the relocation of Peoples from their homes or lands subject to traditional ownership or customary use?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.		
Risk Description	<i>[insert risk description]</i>	
Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	

10. Cultural heritage

10.1 Is the project likely to negatively affect cultural heritage?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.		
Risk Description	<i>[insert risk description]</i>	
Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	
10.2 Is the project likely to negatively affect a legally protected cultural heritage area?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
If 'Yes', the associated risks should be identified and assessed as well as mitigation measures.		
Risk Description	<i>[insert risk description]</i>	
Risk assessment	<i>[insert risk assessment]</i>	
Score the risk level	<i>[Choose between high, medium and low]</i>	

Risk categorisation process

- If all questions were answered 'No' or when a question was answered 'Yes' the identified risk was assessed as 'Low', project can be evaluated 'Low risk': No further assessment is required.
- If one or more risks are identified as 'Medium', the project is 'Medium risk': Further assessment is required to formulate alternatives.
- If one of more risks are identified as 'High', 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 an Environmental and Social Impact Assessment - ESIA)

SER RISK ASSESSMENT CONCLUSION

Risk project categorisation	<input type="checkbox"/> Low
	<input type="checkbox"/> Medium
	<input type="checkbox"/> 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>Insert other Topics/areas to be further assessed</i>	<i>Insert type of assessment</i>
<i>Insert other Topics/areas to be further assessed</i>	<i>Insert type of assessment</i>
<i>Insert other Topics/areas to be further assessed</i>	<i>Insert type of assessment</i>
<i>Insert other Topics/areas to be further assessed</i>	<i>Insert type of assessment</i>

For the Applicant: *[insert name of the organisation]*

Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

ANNEX 5: PROJECT RISK IDENTIFICATION

RISK IDENTIFICATION FORM – GRANT APPLICATION			
<i>Project Risks</i>			
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?
<i>[Risk 1 identified]</i>	<i>[Choose between high, medium and low]</i>	<i>[Choose between high, medium and low]</i>	<i>[Describe your mitigation strategy to reduce the likelihood of the risk occurring.]</i>
<i>[Risk 2 identified]</i>	<i>[Choose between high, medium and low]</i>	<i>[Choose between high, medium and low]</i>	<i>[Describe your mitigation strategy to reduce the likelihood of the risk occurring.]</i>
<i>[Risk 3 identified]</i>	<i>[Choose between high, medium and low]</i>	<i>[Choose between high, medium and low]</i>	<i>[Describe your mitigation strategy to reduce the likelihood of the risk occurring.]</i>
<i>[Risk 4 identified]</i>	<i>[Choose between high, medium and low]</i>	<i>[Choose between high, medium and low]</i>	<i>[Describe your mitigation strategy to reduce the likelihood of the risk occurring.]</i>

For the Applicant: *[insert name of the organisation]*

Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

Annex 6: APPLICANT DECLARATION

The applicant, represented by the undersigned, being the authorised signatory of the applicant, in the context of the present 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 (Part 1, Part 2, Part 3 and Part 4);
- the applicant has sufficient financial capacity to carry out the proposed action or work programme;
- the applicant certifies the legal statuses 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 the grant process 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 interest;

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

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 the grant process or any 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.

For the Applicant: *[insert name of the organisation]*

Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

For the co-applicants (if any):

[insert name, signature and date of signature for every co-applicant]

Annex 7: CONFLICT OF INTEREST DECLARATION

INSTRUCTIONS TO APPLICANTS

What is a conflict of interest?

A conflict of interest may arise from economic or commercial interests, political, trade union or national affinities, family, cultural or sentimental ties, or **any other type of relationship or common interest between the applicant and any person connected with SPC** (SPC staff member, consultant or any other expert or collaborator mandated by SPC).

Always declare a conflict

The existence of a potential or apparent conflict of interest does not necessarily prevent the applicant from taking part in a grant process. **However, the declaration of the existence of such a conflict by the persons involved is essential and allows SPC to take appropriate measures to mitigate it and prevent the associated risks.**

Applicants are therefore invited to declare any situation, fact or link which, to their knowledge, could generate a real, potential or apparent conflict of interest.

Declaration at any time

Conflicts of interest may arise at any time during the grant award process or the implementation of a project (e.g. new partner in the project) or as a result of a change in personal life (e.g. marriage, inheritance, financial transaction, creation of a company). If such a relationship is found and could be perceived by a reasonable person as likely to influence a decision, a declaration of the situation is necessary. In case of doubt, a conflict situation must be declared.

Declaration for any person involved

A declaration must be completed for each person involved in the application process (principal representative of the applicant, possible partners, etc.).

Failure

Failure to declare a potential conflict of interest may result in the exclusion of the applicant from the process or the non-award of a grant.

DECLARATION

I, the undersigned, *[name of the representative of the applicant]*, acting in the name and on behalf of the organisation *[name of the entity]*, declare that:

<input type="checkbox"/>	To my knowledge, I am not in a conflict-of-interest situation
<input type="checkbox"/>	There is a potential conflict of interest with regard to my <i>[Choose an item]</i> . relationship with <i>[name of the person concerned]</i> in his or her capacity as <i>[mention position/role/personal or family link with the person concerned]</i> , although, to the best of my knowledge, this person is not directly or indirectly involved in any stage of the grant award process
<input type="checkbox"/>	I may be in a conflict of interest with regard to my <i>[Choose an item]</i> relationship with <i>[name of the person concerned]</i> in his or her capacity as <i>position/role/personal or family link with the person concerned]</i> , as this person is, to the best of my knowledge, directly or indirectly linked to the grant award process
<input type="checkbox"/>	To my knowledge, there is another situation that could potentially constitute a conflict of interest: <i>[Describe the situation that may constitute a conflict of interest]</i>

In addition, I undertake to:

- declare, without delay, to SPC any situation that constitutes a potential conflict of interest or is likely to lead to a conflict-of-interest;
- not to grant, seek, obtain or accept any advantage, whether financial or in kind, to or from any person where such advantage constitutes an unfair practice or an attempt at fraud or corruption, directly or indirectly, or constitutes a gratuity or reward related to the award of the contract;
- to provide accurate, truthful and complete information to SPC in connection with this procurement process.

I acknowledge that I and/or my organisation and/or partners who are jointly and severally applying for a grant, may be subject to sanctions, if it is established that false statements have been made or false information has been provided.

For the Applicant: *[insert name of the organisation]*

Signature:

Name of the applicant's representative: *[insert name of the representative]*

Title: *[insert Title of the representative]*

Date: *[Click or tap to enter a date]*

Part :6 SPC STANDARDS TERMS AND CONDITIONS FOR GRANT AGREEMENT

1. LEGAL STATUS OF THE GRANTEE

1.1 Legally, the Grantee has the legal status of an independent entity *vis-à-vis* SPC. The Grantee's personnel and contractors or sub-contractors are not to be considered in any respect employees or agents of SPC.

1.2 Nothing in this Agreement or in the relationship between SPC and the Grantee shall constitute or be construed as creating an employer-employee or principal-agent relationship, partnership, joint venture or any other form of relationship of any kind. The Grantee shall have no authority to act as an agent of SPC; nor shall the Grantee in any way bind LCPS to any contractual agreement or other form of obligation, or hold itself out as an agent of SPC or as having the authority to bind SPC to any contractual agreement or other form of obligation.

2. LEGAL STATUS OF THE GRANTEE

The Grantee recognises and respects the status of SPC as an intergovernmental organisation under the 1947 Canberra Agreement.

3. PRIVILEGES AND IMMUNITIES

Nothing in or relating to this Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of SPC.

4. USE OF NAME, EMBLEM OR OFFICIAL SEAL OF SPC

The Grantee shall not use the name, emblem or official seal of SPC, or any abbreviation of the name of SPC without SPC's prior written approval.

5. SOURCE OF INSTRUCTIONS

The Grantee will only accept instructions from SPC in the performance of this Agreement. The Grantee will refrain from any action that may adversely affect SPC and will fulfil its commitments with the fullest regard to the interests of SPC. Should any authority external to SPC seek to impose any instructions concerning or restrictions on the Grantee's performance under the Agreement, the Grantee shall promptly notify SPC and provide all reasonable assistance required by SPC.

6. GRANTEE'S RESPONSIBILITY FOR EMPLOYEES

The Grantee shall be responsible for the professional and technical competence of its employees and will select, for work under this Agreement, reliable individuals who will perform effectively in the implementation of this Agreement, respect the local customs, and conform to a high standard of moral and ethical conduct. The Grantee shall not discriminate against any person because of race, gender, sexual orientation, impairment or disability, religious or political beliefs, age, marital or relationship status, pregnancy, breastfeeding or other family responsibilities.

7. SUB-CONTRACTING

7.1 The Grantee may enter into contracts (for the purchasing of goods, works or services), sub-contracts and other agreements necessary for the implementation of this Agreement.

7.2 However, it is understood that the Grantee shall at all times remain accountable to SPC for the fulfilment of its responsibilities under this Agreement, and for ensuring the successful achievement of the objectives of the project, programme or activity.

7.3 The Grantee shall be responsible for ensuring that all contracts and subcontracts shall be fully consistent with this Agreement and shall not in any way prejudice the implementation of any of its provisions.

7.4 Prior to employing individuals or engaging contractors or subcontractors to perform services under this Agreement, the Grantee agrees, at its own expense, to perform due diligence necessary to ensure compliance with the terms of this Agreement.

8. ASSIGNMENT

Except with the prior written consent of SPC, the Grantee may not assign, transfer, pledge or make other disposition of this Agreement or any part thereof, or any of the Grantee's rights, claims or obligations under this Agreement.

9. AUTHORITY TO MODIFY

No modification or change, nor waiver of any of this Agreement's provisions or additional contractual relationship of any kind with the Grantee will be valid and enforceable against SPC unless provided by an amendment to this Agreement signed by the authorised official of SPC.

10 INSURANCE AND LIABILITIES TO THIRD PARTIES

10.1 SPC shall have no responsibility for the purchase of any insurance which may be necessary in respect to any loss, injury, damage or illness occurring during the execution by the Grantee of the present Agreement.

10.2 The Grantee will hold insurance against all risks in respect of its employees, sub-Grantees, property and equipment used for the execution of this contract, including appropriate worker's compensation for personal injury or death.

10.3 The Grantee will also hold liability insurance in an adequate amount to cover third party claims for any claims arising from or in connection with the provision of services under this Agreement.

10.4 The Grantee shall, upon request, provide SPC with satisfactory evidence of insurance cover as required under this clause.

11. AUDIT ACTIVITIES

11.1 The activities implemented by the Grantee under this Agreement may be subject to audits by SPC, which may include audits of financial transactions and internal controls in relation to the activities carried out by the Grantee.

11.2 The Grantee shall instruct its personnel, including but not limited to its lawyers, accountants, auditors or other advisors, as well as its contractors and subcontractors, to cooperate within reasonable limits with any audits that may be carried out by SPC.

12. OFFICIALS NOT TO BENEFIT

The Grantee warrants that no official of SPC has received or will be offered by the Grantee any direct or indirect benefit arising from this Agreement or the award thereof. The Grantee agrees that breach of this provision is a breach of an essential term of this Agreement.

13. FRAUD AND CORRUPTION

13.1 SPC requires the Grantee to adhere to the highest standard of ethical conduct and not engage in corrupt, fraudulent, collusive, coercive or obstructive practices.

13.2 The Grantee agrees to bring allegations of corrupt, fraudulent, collusive, coercive or obstructive practices arising in relation to this contract, of which the Grantee has been informed or has otherwise become aware, promptly to the attention of SPC. For purposes of this contract, the following definitions shall apply:

"corruption" means the abuse of entrusted power for private gain. It may include improperly influencing the actions of another party or causing harm to another party. The gain or benefit may be for the person doing the act or for others.

"fraud" means any dishonest act or omission that causes loss or detriment to SPC or results in an unauthorised benefit or advantage to either the person(s) acting or omitting or to a third party. The act or omission can be either deliberate or reckless in relation to the harm caused or the benefit or advantage obtained.

13.3 Any breach of this representation and warranty shall entitle SPC to terminate this contract immediately upon notice to the Grantee, at no cost to SPC.

14. SOCIAL AND ENVIRONMENTAL RESPONSIBILITY

14.1 SPC has committed to ethically and sustainably managing social and environmental risks and impacts of its activities through its Social and Environmental Responsibility Policy.

14.2 Accordingly, SPC requires the Grantee to comply with the following obligations.

Child protection

14.3 The Grantee represents and warrants that neither it, nor any of its suppliers is engaged in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child. This includes, among other things, Article 3 which requires the best interests of the child to be a primary consideration in all actions concerning children; Article 32 which protects children from economic exploitation and child labour; and Article 34 which protects children from sexual exploitation and abuse.

Where the Grantee is providing services directly related to or involving children, the Grantee will either have its own Child protection policy in place or use its best endeavours to act in

accordance with the principles of SPC's child protection policy.

The Grantee agrees to bring allegations of any abuse or exploitation of children arising in relation to this Agreement, of which the Grantee has been informed or has otherwise become aware, promptly to the attention of SPC.

14.4 Any breach of this representation and warranty shall entitle SPC to terminate this Agreement immediately upon notice to the Grantee, at no cost to SPC.

Human rights

14.5 The Grantee is committed to respecting, and acting in a manner which avoids infringing on, human rights, and ensures that they are not complicit in human rights abuses committed by others.

14.6 Any breach of this representation and warranty shall entitle SPC to terminate this Agreement immediately upon notice to the Grantee, at no cost to SPC.

Gender equality and social inclusion

14.7 SPC is committed to progress gender equality and social inclusion in all area of its work. The Grantee is expected to respect gender equality and diversity in the workplace.

14.8 The Grantee is expected to have measures in place to ensure equal pay for work of equal value, to prevent bullying and any forms discrimination; and to ensure a safe workplace environment for women and men of all diversities.

Sexual harassment, sexual abuse or sexual exploitation

14.9 SPC will not tolerate any form of sexual harassment, abuse or exploitation. The Grantee shall refrain from and shall take all reasonable and appropriate measures to prohibit its employees or other persons engaged and controlled by it from engaging in sexual harassment, sexual abuse and sexual exploitation.

14.10 The Grantee agrees to bring allegations of sexual harassment, sexual abuse or sexual exploitation arising in relation to this Agreement, of which the Grantee has been informed or has otherwise become aware, promptly to the attention of SPC.

14.11 For purposes of this Agreement, the following definitions shall apply:

"sexual harassment" means behaviour that is unwelcome, unsolicited, unreciprocated of a sexual nature. It is behaviour that is likely to offend, humiliate or intimidate.

"sexual abuse" means actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

"sexual exploitation" means any actual or attempted abuse of a position of vulnerability, differential power, or trust for sexual purposes. It includes profiting monetarily, socially, or politically from sexual exploitation of another.

14.12 Any breach of this representation and warranty shall entitle SPC to terminate this Agreement immediately upon notice to the Grantee, at no cost to SPC.

Environmental responsibility

14.13 The Grantee must ensure a rational use and management of natural resources and ecosystems.

14.14 The Grantee shall use all efforts to prevent or, where not possible, to minimise the impact of their activities towards climate change and damage to the environment.

15. ANTI-MONEY LAUNDERING/COUNTER TERRORISM FINANCING

15.1 The Grantee agrees to take all reasonable efforts to ensure that none of the funds received under this Agreement are used for money laundering or for terrorism financing.

15.2 The Grantee agrees that the recipients of any amounts provided by SPC hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via:

<https://scsanctions.un.org/fop/fop?xml=htdocs/resources/xml/en/consolidated.xml&xslt=htdocs/resources/xsl/en/consolidated.xsl>

15.3 For purposes of this Agreement, the following definitions shall apply:

"money laundering" means the conversion or transfer of property, knowing that such property is the proceeds of crime, for the purpose of concealing or disguising the illicit origin of the property or of helping any person who is involved in the commission of the predicate offence to evade the legal consequences of his or her actions, or the concealment or disguise of the true nature, source, location, disposition, movement or ownership of or rights with respect to property, knowing that such property is the proceeds of crime.

"terrorism financing" means directly or indirectly, unlawfully and wilfully, provides or collects funds with the intention that they should be used or in the knowledge that they are to be used, in full or in part, in order to carry out acts of terrorism.

15.4 Any breach of this representation and warranty shall entitle SPC to terminate this Agreement immediately upon notice to the Grantee, at no cost to SPC.

16 INDEMNIFICATION

16.1 The Grantee shall indemnify, hold and save harmless, and defend, at its own expense, SPC, its officials, agents, servants and employees from and against all suits, claims, demands, and liability of any nature or kind, including their costs and expenses, arising out of acts or omissions of the Grantee, or the Grantee's employees, officers, agents or sub-Grantees, in the performance of this contract. This obligation does not extend to actions and omissions of SPC.

16.2 This provision shall extend, inter alia, to claims and liability in the nature of workmen's compensation, products liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Grantee, its employees, officers, agents, servants or sub-Grantees.

16.3 The obligations under this clause do not lapse upon termination of this contract.

17 INTELLECTUAL PROPERTY RIGHTS

17.1 SPC is entitled to all intellectual property and other proprietary rights including but not limited to patents, copyrights, and trademarks, with regard to products, or documents and other materials which bear a direct relation to or are produced or prepared or collected in consequence of or in the course of the execution of this contract. This includes derivative works created as a result of products created pursuant to this Agreement.

17.2 At SPC's request, the Grantee shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring them to SPC.

18 CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION

18.1 All documents and information relating to this Agreement as well as any other information of which the Grantee becomes aware in the course of performing the Agreement that is not in the public domain must be treated as confidential during and beyond the term of the Agreement. The Grantee shall not be permitted to make use of any such data and information for the Grantee's own purposes.

18.2 The Grantee may not communicate at any time to any other person, Government or authority external to SPC, any information known to it by reason of its association with SPC which has not been made public except with the authorisation of SPC; nor shall the Grantee at any time use such information to private advantage. These obligations do not lapse upon termination of this Agreement.

19 CONFLICT OF INTEREST

19.1 The Grantee must take all the necessary measures to prevent any situation of conflict of interest or professional conflicting interest.

19.2 The Grantee must notify SPC in writing as soon as possible of any situation that could constitute a conflict of interest during the performance of this Agreement. The Grantee must immediately take action to rectify the situation. SPC may do any of the following:

verify that the Grantee's action is appropriate,

require the Grantee to take further action within a specified deadline.

20 PROTECTION OF PERSONAL DATA

20.1 SPC and the Grantee shall each ensure adequate protection of personal data in accordance with their relevant rules and regulations and in particular SPC's Privacy Policy. The Grantee represents and warrants that it will put in place and maintain appropriate technical and organisational measures to prevent accidental or unlawful destruction or accidental loss, alteration or disclosure of, or unauthorised access to, personal data in accordance with the best standards. The Grantee shall promptly notify SPC of any known or suspected incident or threat of accidental or unlawful destruction or accidental loss, alteration, unauthorised access or disclosure of personal data, or of any breach of the provisions of this clause. The parties shall

consult each other in order to assess, remedy and resolve the situation.

20.2 The Grantee shall notify SPC within five working days of any complaint or claim made by an individual about his or her personal data. The parties shall consult each other before taking any action as a result of or in response to such a complaint or claim. The obligations and restrictions set forth in this section shall remain in effect for the duration of this Agreement, including any extension thereof, unless the parties agree otherwise in writing. Upon termination of this agreement, the Grantee shall return to SPC all personal data collected for the purpose of performing this agreement.

21 FORCE MAJEURE AND OTHER CHANGES IN CONDITIONS

21.1 Force majeure for the purposes of this Agreement means any unforeseeable and irresistible act of nature, any act of war (whether declared or not), invasion, revolution, insurrection, terrorism, or any other acts of a similar nature or force, provided that such acts arise from causes beyond the control and without the fault or negligence of the Grantee.

21.2 The Grantee should notify SPC within fifteen (15) days of the occurrence of the force majeure event. The Grantee shall also notify SPC of any other changes in conditions or the occurrence of any event which interferes or threatens to interfere with its performance of this Agreement.

21.3 The notice shall include steps proposed by the Grantee to be taken, including any reasonable alternative means for performance that is not prevented by force majeure. On receipt of the notice required under this clause, SPC shall take such action as, in its sole discretion, it considers to be appropriate or necessary in the circumstances, including the granting to the Grantee of a reasonable extension of time in which to perform its obligations under this Agreement.

21.4 If the Grantee is rendered permanently unable, wholly or in part, by reason of force majeure to perform its obligations and meet its responsibilities under this Agreement, SPC shall have the right to suspend or terminate this Agreement on the same terms and conditions as are provided for in clause 22 "Termination", except that the period of notice shall be seven (7) days.

22 TERMINATION

22.2 SPC reserves the right to terminate without cause this Agreement, at any time with thirty (30) days written notice to the Grantee, in which case SPC shall reimburse the Grantee for all reasonable costs incurred by the Grantee prior to receipt of the notice of termination.

22.1 Either party may terminate this Agreement for cause, in whole or in part, with fifteen (15) days' written notice to the other party. The initiation of arbitral proceedings in accordance with clause 18 "Settlement of Disputes" below shall not be deemed a termination of this Agreement.

22.3 In the event of any termination by SPC under this clause, no payment shall be due from SPC to the Grantee

except for work and services satisfactorily performed in conformity with the express terms of this Agreement. The Grantee shall take immediate steps to terminate the work and services in a prompt and orderly manner and to minimise losses and further expenditure.

22.4 Should the Grantee be adjudged bankrupt, or be liquidated or become insolvent, or should the Grantee make an assignment for the benefit of its creditors, or should a receiver be appointed on account of the insolvency of the Grantee, SPC may, without prejudice to any other right or remedy it may have, terminate this Agreement forthwith. The Grantee shall immediately inform SPC of the occurrence of any of the above events.

23 OBSERVANCE OF THE LAW

The Grantee must comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the terms of this Agreement.

24 SETTLEMENT OF DISPUTES

24.1 The Parties will use their best efforts to settle amicably any dispute, controversy or claim arising out of, or relating to this Agreement or the breach, termination or invalidity thereof.

24.2 If a dispute is not settled within sixty (60) days of one Party notifying the other of a request for amicable settlement, the dispute can be referred by either Party to arbitration in accordance with the general principles of international law. The arbitration will be governed by the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL) as at present in force. The arbitral tribunal shall have no authority to award punitive damages. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy, claim or dispute.