



The National Council for Science and Technology of Mexico (Consejo Nacional de Ciencia y Tecnología - CONACYT)

**“Call for Projects and Joint Networks for Research, Technological
Development and Innovation by the Science and Technology International
Cooperation Fund European Union – Mexico”**

FONCICYT

Terms of Reference

(Guidelines for grant applicants)

Specific Funding Agreement ALA / 2006 / 18149

Budget details:

- CONACYT budget available for calls for proposals by FONCICYT
- Norm (CE) Nr. 443/92 of the European Community Council from February 25 1992 (Norms ‘ALA’)

Reference: Call for proposals FONCICYT-C002-2008-1

ALA/127249

Deadline for submission of proposals:

17th September 2008



Important legal notice:

The original language and the only valid and official version of the contract and its annexes is Spanish. The translation into English is provided to facilitate the understanding of the contract and its annexes. They are not legally binding and are not officially sanctioned.



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1. INTERNATIONAL COOPERATION PROGRAMME FOR THE PROMOTION OF COOPERATION IN SCIENCE AND TECHNOLOGY EUROPEAN UNION – MEXICO (FONCICYT)

1.1. BACKGROUND

The programme's beneficiary is The National Council for Science and Technology of México (CONACYT). CONACYT is a decentralised non-segmented state-run organisation, incorporated with its own assets, enjoying technical, operational and administrative autonomy, based in Mexico City, Federal District, an assessment body for the Federal Executive specialised in articulating the public policy of the Federal Government, and in promoting the development of scientific and technological research, innovation, development and technological modernisation of the country, founded in the Organic Law of the National Council for Science and Technology, published in the Official Newspaper of the Federation, June 5th 2002.

Bilateral relations between the EU and Mexico are based on the Agreement of Political and Financial Cooperation of December 8th 1997, which came into effect on October 1st 2000. Article 9 of said agreement identifies Science and Technology as an area of cooperation of special bilateral interest. Therefore, in the cooperation agenda between the EU and the Mexican Government, scientific and technological development has clear priority for both parties.

Additionally, taking into account the importance that Science and Technology have for social and economic development, and guided by the mutual desire to reinforce cooperation in the areas of common interest, in 2004 the EU and Mexico signed the Sectorial Agreement based on the principle of mutual benefit and on the reciprocity of access to the programmes and activities relevant to the achievement of the objectives thereby established.

On the other hand, the Country Strategy Paper 2002-2006 for Mexico, established as priorities of cooperation the funding of bilateral projects of science and technology aiming to promote the transfer and exchange of knowledge and good practices between the two regions, supporting the objectives detailed in the Special Programme of Science and Technology 2001-2006 (PECYT).

Within this framework, the funding for the International Cooperation Programme for the Promotion of Scientific and Technological Research European Union – Mexico was approved, signing the corresponding Financing Agreement on September 25th 2006 by the European Commission, and on December 2 2006 on by Mexico.

The total budget of the programme ascends to a total of 20 million Euros, financed 50% by the EC and 50% by Mexico. The duration of the programme is of 48 months, beginning from the signature date of the Financing Agreement, anticipating the termination of activities for December 31st 2010.



1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The *general objective* is to strengthen the scientific and technological capabilities of Mexico, contributing to the solution of environmental and socio-economic problems among others, taking into account the expected positive effect on competitiveness, growth and employment in the medium term.

The *specific objective* of the programme is to promote Scientific and Technological Cooperation between Mexico and the EU member countries in the sectors covered by the Science and Technology Cooperation Agreement EU-Mexico, creating the conditions for improving the participation of Mexico in research, technological development and innovation programmes that make up the European Research Space of the EU, especially the 7th Framework Programme of the IDT, prioritising a local and regional development approach through the creation of the Fund of International Cooperation in Science and Technology (FONCICYT).

Results

The expected results from the project are:

- R1 – The funding of joint projects in research, technological development and innovation in the sectors covered by the Science and Technology Cooperation Agreement EU-Mexico, with a focus on local and regional development;
- R2 – The creation and strengthening of networks and consortiums of research, technological development and innovation between Mexicans and Europeans;
- R3 - The development of human resources linked to the system of science, technology and innovation in Mexico;
- R4 – The creation of linking mechanisms between Universities, IDT Centres, Companies, NGO's, governmental bodies and local governments, both in Mexico and in EU member states.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY THROUGH FONCICYT

The overall indicative amount made available under this call for proposals is fifteen million five hundred Euros (15,500,000 Euros). The Contracting Authority through FONCICYT reserves the right not to award all available funds.

In the case where the minimum percentage anticipated for a specific lot cannot be used due to insufficient quality or number of proposals received, the Commission reserves the right to reallocate the remaining funds to another fund.

Size of grants

Any grant awarded under this programme must fall between the following minimum and maximum amounts:



Modality A: Creation and strengthening of research, technological development and innovation joint networks;

- Minimum amount: NOT APPLICABLE;
- Maximum amount up to 100,000 Euros equivalent to \$1,603,460.00¹ Mexican pesos;

The indicative amount available for Modality A is of 1,000,000 Euros.

Modality B: Joint projects of research, technological development and innovation;

- Minimum amount: NOT APPLICABLE;
- Maximum amount up to 1,000,000 Euros equivalent to \$16,034,600.00¹ Mexican pesos;

The indicative amount available for Modality B is of 14,500,000 Euros.

In addition, no grant may exceed 70% of the total eligible costs of the Action/Project/Network (see also section 2.1.4). The balance must be financed from the applicant's or partners' own resources, or from sources other than the CONACYT, European Community budget or the European Development Fund.

The grant established in the **contract** of resources allocation shall be conceded in Mexican pesos.

¹ Central European Bank official exchange rate 1 EUR = 16.0346 \$ MXN on May 29th 2008. This exchange rate is applied to the call as a guideline and may change according to instructions from the Central European Bank.



2. RULES OF THIS CALL FOR PROPOSALS

These Terms of Reference (Guidelines for grant applicants) set out the rules for the submission, selection and implementation of actions financed under this call, in conformity with the provisions of the Practical Guide to contract procedures for EC external actions, and the norms regarding science and technology of Mexico, agreed in the Specific Financing Agreement, which is applicable to the present call.

These norms are available on the Internet:

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

http://www.conacyt.gob.mx/Acerca/Acerca_Normatividad.html

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicant(s) who may request a grant (2.1.1), and their partners (2.1.2),
- actions for which a grant may be awarded (2.1.3),
- types of costs which may be taken into account in setting the amount of the grant (2.1.4).

2.1.1 Eligibility of applicants: who may apply?

(1) In order to be eligible for a grant, applicants **must**:

- a) Be a legal entity of Mexico, who will act as the consortium leader, registered in the RENIECYT with a valid register at the date of sending the proposal;
- b) Belong to one of the following categories: Public or private research centres, public or private higher education institutions, public or private enterprises, national, regional or local governments, through their respective institutional agencies, chambers or business associations, etc.

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations below:

- a) 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;;
- b) They have been convicted of an offence concerning their professional conduct by a judgment which has the force of res judicata; (i.e. against which no appeal is possible);;



- c) They have been guilty of grave professional misconduct proven by any means which the Contracting Authority can justify;
- d) 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 Contracting Authority or those of the country where the contract is to be performed;
- e) 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;
- f) They are currently subject to an administrative penalty referred to in Article 96(1) of the Financial Regulation
- g) Projects presented by those who maintain a debt with CONACYT, or who have outstanding disputes with it regarding administrative or judicial instances, deriving from projects funded by any programme pertaining to the Council;
- h) Enterprise proposals that present unjustified delays in the fulfilment of technical or administrative reports of projects previously funded;

In Annex E « Applicant's Declaration », the applicants will have to declare that they do not fall in any of the above situations.

2.1.2 Partnerships and eligibility of partners

Applicants must act in the framework of a consortium for research and technological development as explained below:

Partners

- Belong to one of the following categories: Public or private research centres, public or private higher education institutions, public or private companies, national, regional or local governments, through their respective institutional agencies, chambers or business associations, etc.;
- Entities from Mexico and from European Union Member States can participate in the proposals;
- Consortiums in in which at least two (2) European entities and two (2) Mexican entities participate will be eligible.
- Participating Mexican entities must be registered in the RENIECYT with a valid inscription at the date of sending the proposal;
- Proposals with enterprise participation will be prioritized. It will be necessary to determine the end user of the project presented and the resulting benefit for society;



- Participating European entities must belong to at least two different Member States of the European Union;

The Applicant's partners will participate in the design and execution of the Action/Project/Network and the eligible costs they incur will be financed in the same way as that of the Beneficiary / Supported Entity. Therefore, they must satisfy the same eligibility criteria as applicants.

All the participating entities must sign the Partnership Statement (Annex F) and a Consortium Agreement, as detailed in sub-clause f of the mentioned Annex.

The following are not partners and do not have to sign the "partnership statement":

Associates

Other organisations may be involved in the Action/Project/Network. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. The associates have to be mentioned in the corresponding clause.

Therefore, the selection of consortiums in which entities from third countries participate will be eligible. In such cases, third country participants will not be part of the funding of the FONCICYT call for proposals.

Subcontractors

Beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to their applicable regulation.

The applicant will act as the lead organisation and, if selected, as the contracting party (the "Beneficiary / Supported Entity").

2.1.3 Eligible actions: actions for which an application may be made

Definition

An Action/Project/Network is composed of a set of activities.

Duration

The planned duration of joint projects and networks of research, technological development and innovation may not exceed 24 months. In any case, its completion may not go beyond December 31st 2010.

Sectors

Sectors to be funded in the call for joint projects and networks will be those specified in Art. 4 of the Science and Technology Cooperation Agreement between Mexico and the EU:



- research on the environment and climate, including Earth observation,
- biomedical and health research,
- agriculture, forestry and fisheries,
- industrial and manufacturing technologies,
- research on electronics, materials and metrology,
- non-nuclear energy,
- transport,
- information society technologies,
- research on economic and social development,
- biotechnologies,
- aeronautics and space research and applied research, and
- science and technology policy

Location

| Activities must take place mainly in the following countries:

- Mexico;
- EU Member States.

Amounts and types of Action

Two types of modalities may be financed under this call:

- **Modality A:** Creation and strengthening of joint networks of research, technological development and innovation, up to a maximum amount of 100,000 Euros equivalent to \$1,603,460.00² Mexican pesos;
- **Modality B:** Joint projects of research, technological development and innovation, up to a maximum amount of 1,000,000 Euros equivalent to \$16,034,600.00² Mexican pesos.

Proposals budgets must be expressed in Mexican Pesos.

The following types of proposals are ineligible:

- Proposals concerned only or mainly in individual sponsorships for participation in workshops, seminars, conferences, congresses;
- Proposals concerned only or mainly with individual scholarships for studies or training courses.

Number of proposals and grants per applicant

For this current call for proposals an applicant may submit as many proposals as they consider appropriately.

For this current call for proposals an applicant may be awarded more than one (1) grant.

² Central European Bank official exchange rate 1 EUR = 16.0346 \$ MXN on May 29th 2008. This exchange rate is applied to the call for projects as a guideline and may change according to instructions from the Central European Bank.



2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant

Only "eligible costs" can be taken into account for a grant. These are detailed below. The budget is therefore both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding apply).

Recommendations to award a grant are always subject to the condition that the checking process, which precedes the signing of the contract, does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of co-financing as a result of these corrections may not be increased in any case.

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

Eligible direct costs

To be eligible under the call for proposals, costs must respect the provisions of article 14 of the General Conditions to the Standard Grant Contract.

In particular, all those costs related to the favourable execution of the action/project/network will be eligible, provided they have been incurred in the course of undertaking the action/project/network, have to be indicated in the estimated overall budget of the action/project/network, must be identifiable and verifiable, have to be reasonable, justified and comply with the requirements of sound financial management, in particular regarding economy and efficiency.

Indicative list of eligible costs:

- Promotion and dissemination costs,
- Training,
- Travel expenses,
- Fees,
- Staff costs, according to Mexican and EU legislations,
- Rental costs for equipment and supplies,
- Direct use materials
- Other operational costs,
- Auditing costs.

Contingency reserve

A contingency reserve not exceeding 5% of the direct eligible costs may be included in the Budget of the Action/Project/Network. It can only be used with the **prior written authorisation** of the Contracting Authority.

Eligible indirect costs (overheads)



The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the total eligible direct costs.

Contributions in kind

Any contributions in kind, which must be listed separately in Annex III of the Contract – Budget of the action/project/network, do not represent actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary / Supported Entity.

The cost of staff assigned to the action/project/network is not a contribution in kind and may be considered as co-financing in the budget of the action/project/network when paid by the Beneficiary / Supported Entity or his partners.

Notwithstanding the above, if the description of the action/project/network as proposed by the Beneficiary / Supported Entity foresees the contributions in kind, such contributions have to be provided.

Ineligible costs

The following costs are not eligible:

- Debts and provisions for losses or debts;
- Interest owed;
- Items already financed in another framework;
- Purchases of land or property;
- Currency exchange losses;
- Taxes, including VAT;
- Credits to third parties;
- Fines;
- Purchasing of equipment;
- Building works;
- Financial expenditure, including the costs of bank transfers.



2.2. HOW TO APPLY, AND THE PROCEDURES TO FOLLOW

2.2.1 *Electronic Application form*

Applications must be presented using the application form in FONCICYT's electronic management system for proposals call. This form is available at the following address:

<http://www.conacyt.mx/Fondos/FondosCooperacionInternacional.html>

Applications should be written in Spanish.

The application format should be carefully filled in and as clearly as possible to facilitate the evaluation process.

Any mistake related to the points in the checklist or any significant incoherence in the application form (for example, the disagreement of the amounts between those in the application form and in the budget form) could lead to dismissal of the proposal.

Clarifications will only be requested when the information provided is not clear and prevents the Contracting Authority, through FONCICYT, from carrying out an objective evaluation.

Only applications completed using FONCICYT's electronic management system for calls for proposals will be accepted.

Please note that only the content of the application form and the published annexes to be filled in will be given to the Evaluation Committee and to the independent evaluators (budget, logical workframe). Therefore, it is most important that these documents contain ALL the relevant information on the action/project/network.

Once the proposal has been approved, and before the formalisation of the contract, the Beneficiary / Supported Entity will have to send to the Contracting Authority, through FONCICYT, a paper copy of the presented proposal, using for this the documents provided in the call for proposals, among them the Format for Funding Application and the corresponding annexes (Partnership Statement, Applicant's Statement, Adhesion letter, Consortium agreement, etc.).

2.2.2 *Where and how to send the applications*

Only applications presented via FONCICYT's electronic management system for proposals call as detailed in the previous section will be accepted.

Applications sent by any other means (postal mail, fax or email) will not be accepted.

The necessary documents to present a complete proposal using FONCICYT's electronic management system for calls for proposals are the following:



- “Grant application form”
- “Budget”
- “Applicant Declaration”
- “Partnership Statement”
- “Check list”
- “Logical Framework”

Applicants must verify that their application is complete based on the checklist (Annex G). Incomplete applications will not be accepted.

The “Partnership Statement” form (Annex F) must be signed by all partners, including the Beneficiary / Supported Entity.

The electronic management system for calls for proposals will generate a report which for each proposal will show the proposal’s record number, the date sent, title, and name and address of the applicant.

The information included in the electronic system will be adequately protected, so that no one will have access to the contents until the opening session and administrative control.

The electronic system of the management of proposals automatically generates a confirmation of receipt which is sent via email to each applicant.

2.2.3 *Deadline for submission of applications*

The deadline for the presentation of proposals is **September 17th 2008** at 24:00 hours Mexican time. Mexican time is that of Mexico City.

Any application presented after the deadline will be automatically rejected. FONCICYT’s electronic management system for calls for proposals will be programmed to comply with the above conditions.

2.2.4 *Further information*

An information session on this call for proposals will be held on the following date and time:

- In Mexico, on **June 25th** at 12:00 hours in FONCICYT, Av. Insurgents Sur 1582, Colonia Creditor Constructor, Delegation Benito Juárez; Mexico D.F., 03940.

CONACYT will publish on the web a report of information sessions that will take place in Mexico. Said information sessions will be public, so that any individual or entity interested in the call for proposals may take part.

Applicants may send their questions via email no later than 21 days before the deadline for the presentation of proposals, to one of the following addresses, ensuring they refer specifically to the call for proposals.

The email address to which all questions should be sent is: infofonciycyt@conacyt.gob.mx



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

In the interest of equal treatment of applicants, the FONCICYT can in no case give a prior opinion on the eligibility of an applicant, a partner or an action/project/network.

Questions that may be relevant to other applicants, together with the answers, will be published on the following Internet sites:

- EuropeAid: http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm
- FONCICYT: <http://www.conacyt.mx/Fondos/FondosCooperacionInternacional.html>

2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated following the procedure established by FONCICYT, through the Technical and Administrative Committee and the Evaluation Committee of the fund, with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria:

2.3.1 *Step 1: Opening, administration check, eligibility of applicant and partners*

Opening Session And Administrative Check

The following will be evaluated:

- The deadline has been observed. If the deadline has not been observed the proposal will automatically be rejected.
- The Application Form satisfies all the criteria mentioned in the Checklist. If any of the requested information is missing or is incorrect, the proposal may be rejected on that **sole** basis and the proposal will not receive further evaluation.

Following the opening of the electronic files containing the proposals and the administrative check, the Contracting Authority, through FONCICYT, will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated, whether they have satisfied all the criteria mentioned in the checklist and whether their Application Form has been recommended for evaluation.³

Verification of eligibility of the applicant and partners

Eligibility will **only** be verified based on the supporting documents required by the Contracting Authority though FONCICYT (see section 2.4) in the case of proposals that have been selected provisionally according to their score and within the available funding.

³ The deadline for sending this letter to the applicant will depend on the number of proposals received.



- The applicant's statement will be compared to the supporting documents presented. Any discrepancy between them or if any of the supporting documents are missing this can be **sufficient ground** for rejecting the proposal.
- The applicant, the partners and the action/project/network's eligibility will be verified according to the criteria detailed in points 2.1.1, 2.1.2 and 2.1.3.

2.3.2 Step 2: Evaluation of the Concept Note

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action / project / network, its merits and effectiveness, its viability and sustainability. The Contracting Authority, through the Evaluation Commission of FONCICYT, reserves the right to skip the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of proposals are received) and to go straight to the evaluation of the corresponding full proposals.

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

The Concept Note will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with instructions provided in the guidance for Concept Note, part A of the application form.

If the examination of the Concept Note reveals that the proposed action / project / network does not meet the eligibility criteria stated in paragraph 2.1.3, the proposal shall be rejected on this sole basis.

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

Some scores are multiplied by 2 because of their importance.



Concept Note Evaluation Grid – Modality A - Networks

Section	Sub-score	Multiplying factor	Score
		Modality A Network	
1. Relevance of the action / network (SCIENTIFIC AND TECHNOLOGICAL QUALITY)			
1.1. Do the stated objectives have scientific and technological quality? Are they coherent with the problem or demand to be solved? Are they relevant with the objective of the call for proposals?	5	x 1	15
1.2. Does the network have an innovative content regarding the generation and application of knowledge beyond the state of the art?	5	x 1	
1.3. Is the Consortium intending to elaborate a plan to identify proposals / projects able to participate and obtain funding from other programs? Is the continuation of activities foreseen once the action has been concluded?	5	x 1	
2. Effectiveness and Feasibility of the action / network (IMPLEMENTATION)			
2.1. Are the methodology and its associated work plan feasible, effective and has sufficient quality regarding the proposed activities?	5	x 2	25
2.2. Is the partners' level of involvement and participation in the activities satisfactory and adequate?	5	x 2	
2.3. Are the proposed activities appropriate and according to the expected results and objectives?	5	x 1	
3. Sustainability of the action / network (IMPACT)			
3.1. Does the network produce real benefits for the users and/or target communities?	5	x 1	10
3.2. Is there an adequate dissemination strategy able to translate the results of the network to its final beneficiaries?	5	x 1	
TOTAL SCORE			50

Concept Note Evaluation Grid – Modality B - Projects

Section	Sub-score	Multiplying factor	Score
		Modality B Projects	
1. Relevance of the action / project (SCIENTIFIC AND TECHNOLOGICAL QUALITY)			
1.1. Do the stated objectives have scientific and technological quality? Are they coherent with the problem or demand to be solved? Are they relevant with the objective of the call for proposals?	5	x 2	15
1.2. Does the project have an innovative content regarding the generation and application of knowledge beyond the state of the art?	5	x 1	
2. Effectiveness and Feasibility of the action / project (IMPLEMENTATION)			
2.1. Are the methodology and its associated work plan feasible, effective and has sufficient quality regarding the proposed activities?	5	x 2	25
2.2. Is the partners' level of involvement and participation in the activities satisfactory and adequate?	5	x 2	
2.3. Are the proposed activities appropriate and according to the expected results and objectives?	5	x 1	
3. Sustainability of the action / project (IMPACT)			
3.3. Does the project produce real benefits for the users and/or target communities?	5	x 1	10
3.4. Is there an adequate dissemination strategy able to translate the results of the project to its final beneficiaries?	5	x 1	
TOTAL SCORE			50



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

Firstly, only the Concept Notes which have been given a score of a minimum of 12 points in the category "Relevance" / "Scientific and Technological Quality" as well as a minimum total score of 30 points will be considered for pre-selection.

Secondly, the classified list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to three (3) times the available budget for this Call for proposals (two lists, one per modality). The Evaluation Commission will subsequently proceed with the evaluation of the full proposals of the pre-selected applicants.

2.3.3 Step 3: Evaluation of the full application⁴

An evaluation of the quality of the proposals, including the proposed budget, and of the capacity of the applicant and his partners, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the action / project / network is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action / project / network. This also applies to any partners of the applicant.

The award criteria allow the quality of the proposals submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the call for proposals. They enable the selection of proposals which the Contracting Authority, through FONCICYT, can be confident will comply with its objectives and priorities and guarantee the visibility of the Community financing. They cover such aspects as the scientific and technological quality of the action, its efficacy and feasibility in relation to the management of resources, and the contribution of results and their transformation into benefits for society.

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good. Applications with the highest scorings will be prioritized.

Scores are multiplied by 2 because of their importance.

⁴ This section will be completed within 21 days of publication.



Evaluation Grid – Modality A – Networks

Criteria	Section	Sub score	Multiplied factor	Score
			Modality A	
			Networks	
QUALITY Scientific and / or technological excellence (relevant to the topics addressed by the call)	1. Relevance			25
	1.1. Do the stated objectives have scientific and technological quality? Are they coherent with the problem or demand to be solved? Are they relevant with the objective of the call for proposals?	5	x1	
	1.2. Does the proposal identify clear scientific and technological barriers and the way to overcome them?	5	x1	
	1.3. Does the network have an innovative content regarding the generation and application of knowledge beyond the state of the art?	5	x1	
	1.4. Is the Consortium intending to elaborate a plan to identify proposals / projects able to participate and obtain funding from other programs? Is the continuation of activities foreseen once the action has been concluded?	5	x2	
IMPLEMENTATION Quality and efficiency of the implementation and the Management	2. Methodology			25
	2.1. Are the methodology and the overall design of its associated work plan feasible, effective and has sufficient quality regarding the proposed activities? (In particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation?)	5	x2	
	2.2. Is the partners' level of involvement and participation in the activities satisfactory and adequate?	5	x2	
	2.3. Does the proposal contain objectively verifiable indicators for the outcome of the action?	5	x1	
	3. Financial and operational capacity			20
	3.1. Are the network management structure and its associated procedures appropriate?	5	x1	
	3.2. Do the applicant and partners have sufficient management capacity to handle the Budget for the network?	5	x1	
	3.3. Do the applicant and partners have sufficient technical expertise and adequate scientific and technical experience to manage Innovation and Technology Development Projects? (in particular, regarding staff, equipment and knowledge of the issues to be addressed)	5	x1	
	3.4. Does the applicant have stable and sufficient sources of finance?	5	x1	
	4. Budget and cost – effectiveness			15
	4.1. Is the ratio between the estimated costs and the expected results satisfactory?	5	x1	
	4.2. Is the distribution of the Budget among the partners adequate to achieve the expected results? Is the proposed expenditure necessary for the implementation of the network?	5	x2	
	IMPACT Potential impact through the development, dissemination and use of Project results	5. Sustainability		
5.1. Does the network produce real benefits for the users and/or target communities?		5	x1	
5.2. Does the proposal establish mechanisms for the protection of intellectual property?		5	x1	
5.3. Is there an adequate dissemination strategy able to translate the results of the network to its final beneficiaries? Does the proposal contain a Use and Dissemination Plan to implement the results? Are the proposed activities adequate to disseminate and exploit the expected results?		5	x1	
Maximum total score				100



Evaluation Grid – Modality B – Projects

Criteria		Section	Sub score	Multiplying factor	Score
				Modality B Projects	
QUALITY	Scientific and / or technological excellence (relevant to the topics addressed by the call)	1. Relevance			25
		1.1. Do the stated objectives have scientific and technological quality? Are they coherent with the problem or demand to be solved? Are they relevant with the objective of the call for proposals?	5	X2	
		1.2. Does the proposal identify clear scientific and technological barriers and the way to overcome them?	5	x1	
		1.3. Does the proposal have an innovative content regarding the generation and application of knowledge beyond the state of the art?	5	X2	
IMPLEMENTATION	Quality and efficiency of the implementation and the Management	2. Methodology			25
		2.1. Are the methodology and the overall design of its associated work plan feasible, effective and has sufficient quality regarding the proposed activities? (In particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an evaluation?)	5	x2	
		2.2. Is the partners' level of involvement and participation in the activities satisfactory and adequate?	5	x2	
		2.3. Does the proposal contain objectively verifiable indicators for the outcome of the action?	5	x1	
		3. Financial and operational capacity			20
		3.1. Are the project management structure and its associated procedures appropriate?	5	x1	
		3.2. Do the applicant and partners have sufficient management capacity to handle the Budget for the project?	5	x1	
		3.3. Do the applicant and partners have sufficient technical expertise and adequate scientific and technical experience to manage Innovation and Technology Development Projects? (in particular, regarding staff, equipment and knowledge of the issues to be addressed)	5	x 1	
		3.4. Does the applicant have stable and sufficient sources of finance?	5	x1	
		4. Budget and cost – effectiveness			15
		4.1. Is the ratio between the estimated costs and the expected results satisfactory?	5	x1	
		4.2. Is the distribution of the Budget among the partners adequate to achieve the expected results? Is the proposed expenditure necessary for the implementation of the project?	5	x2	
		IMPACT	Potential impact through the development, dissemination and use of Project results	5. Sustainability	
5.1. Does the project produce real benefits for the users and/or target communities?	5			x1	
5.2 Does the proposal establish mechanisms for the protection of intellectual property?	5			x1	
5.3 Is there an adequate dissemination strategy able to translate the results of the project to its final beneficiaries? Does the proposal contain a Use and Dissemination Plan to implement the results? Are the proposed activities adequate to disseminate and exploit the expected results?	5			x1	
Maximum total score				100	



Thresholds per section

Threshold Section 1. Relevance

If the total average score is less than 20 points for section 1, the Evaluation Commission will reject the proposal.

Threshold Section 3. Financial and operational capacity

If the total average score is less than 12 points for section 3, the Evaluation Commission will reject the proposal.

Global Threshold

If the total average score is less than 75 points for the sum of the five sections, the Evaluation Commission will reject the proposal.

Provisional selection

Following the technical evaluation, a table listing the proposals ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

Note: The scores awarded in this phase are completely separate from those given to the concept note of the same application.

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED PROPOSALS

The Contracting Authority, through FONCICYT, will communicate the result of their evaluation to the provisionally selected applicants and those included in the reserve list, and will ask them to present the following documentation to demonstrate their eligibility and that of their partners:

1. The statutes or articles of association of the applicant organisation⁵ and of each partner organisation. Where the Contracting Authority, through FONCICYT has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g: copy of the BUDGET DESTINATION contract received during the reference period), unless a change in its legal status has occurred in the meantime.⁶
2. Where the grant requested exceeds EUR 500 000 (EUR 100 000 for an operating grant), an external audit report produced by an approved auditor, certifying the accounts for the last financial year available. This obligation is not applicable to public bodies. The Contracting Authority, through FONCICYT, according to its analysis of the management risks, may exempt secondary or higher education institutions from this obligation, as well as those Beneficiaries who have accepted joint responsibility in the case of agreements with a number of partners.

⁵ Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

⁶ Insert only when there have been changes in the conditions of eligibility from one call for proposal to the other.



3. Copy of the applicant's most recent accounts (the profit and loss account and the balance sheet for the previous complete financial period).⁷
4. List of other supporting documents required.
 - Proof of current RENIECYT registration for participating Mexican entities.

The supporting documents requested must be supplied in the form of originals or photocopies of the said originals.

Where such documents are not in Spanish, a translation into this language of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the proposal.

If the supporting documents are not provided before the set deadline (15 calendar days from the receipt of the letter sent by the Contracting Authority, through FONCICYT), the application may be rejected.

Based on the verification of the supporting documents by the Evaluation Commission of the FONCICYT, it will make a final recommendation to the Technical and Administrative Committee of the FONCICYT which will decide on the award of grants.

If the evaluation of the application shows that the proposal for the action/project/network does not fulfil the eligibility criteria established in paragraph 2.1.3, the completed application will be rejected for this sole reason.

2.5. CONCLUSION OF EVALUATION COMMISSION.

The decisions of the Evaluation Commission of the FONCICYT are made independently and are of a consultative nature. The Commission must approve the list of proposals selected for funding, indicating the scores given to each proposal, the amount of funding proposed and the financing index of the eligible costs proposed. Depending on the following considerations, such a list includes the proposals which have obtained the best scores, classified according to the available funds within the framework of the call for proposals, and taking into account the following points:

- The Commission may not attribute all the available funding if it considers that few proposals have the required quality worthy of the grant;
- The Commission may draw up a list by topic or geographical regions detailed in the Terms of Reference / Guidelines;
- The Commission may reject a proposal if it has selected another one which has an identical objective and has obtained a higher score;

⁷ This obligation does not apply to individuals on a scholarship, public bodies or international organisations, nor when the accounting periods coincide with the external audit already provided in accordance with sub-clause 2.4.2.



- When several proposals from the same applicant are selected for funding, but the applicant does not have the necessary financial and operational capacity to carry out all the actions at the same time, the Commission may reject the proposal(s) which has/have obtained a lower score, and select the proposal(s) that the applicant may carry out.

The Commission may subsequently prepare, under the same conditions, a reserve list with a limited number of proposals which have obtained the best scores after those selected for funding. This reserve list will be valid during the period stated in the Evaluation Report. The proposals included in this list will probably receive certain funding insofar as there are available funds in the call for proposals (reduction of eligible costs of the selected proposal, impossibility of signing a contract with the selected applicant, etc.).

2.6. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION, THROUGH FONCICYT

2.6.1. Content of the Decision

Applicants will be informed in writing of the decision of the Contracting Authority, through FONCICYT, concerning their application and the reasons for the decision.

The decision to reject an application or not to concede the funding will be based on the following reasons:

- They have been declared illegible;
- They have not reached the minimum required thresholds;
- Even if they attain the minimum thresholds, they cannot be funded because the available funding is insufficient;
- There has been no agreement in the negotiation process.

Applicants believing that they have been prejudiced by an error or irregularity during the concession process may petition the Contracting Authority directly. The Contracting Authority, through FONCICYT, must reply within 90 days of receipt of the complaint.

Where the European Commission is informed of such a complaint, it must communicate its opinion to the Contracting Authority and do everything in its power to facilitate an amicable solution between the complainant (applicant) and the Contracting Authority, through FONCICYT. If this procedure fails, the applicant may resort to procedures established under Mexico's internal legislation.



2.6.2. Indicative timetable

	DATE	TIME*
Information meeting in Mexico	25.06.2008	12:00 hrs.
Deadline for request any clarifications from the Contracting Authority, through FONCICYT	Date 21 days before the submission deadlines.	18:00 hrs.
Last day by which the Contracting Authority, through FONCICYT, can give out information	Date 11 days before the submission deadlines.	18:00 hrs.
Deadline for submitting the application (1st date)	17.09.2008	24:00 hrs.
Information sent to applicants regarding the results of evaluation of eligibility, administrative check and evaluation of complete application form (1st date)	24. 09.2008*	18:00 hrs.
Notification of award (1st date)	10.11.2008*	18:00 hrs.
Contract Signature (1st date)	8.12.2008*	18:00 hrs.

***Provisional Date.** All times are given in Mexican time in Mexico City.

2.7 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION/PROJECT/NETWORK FOLLOWING THE CONTRACTING AUTHORITY'S DECISION, THROUGH FONCICYT, TO AWARD THE GRANT

Following the decision to awarding a grant/funding to a proposal, the Beneficiary / Supported Entity will be offered a contract based on FONCICYT's standard contract (see Annex C). When sending the application (Annex A) the applicant declares his/her acceptance, in case of award of a grant, of the conditions of such a contract as they are established in the standard contract.



3. LIST OF ANNEXES

ANNEX A: GRANT APPLICATION FORM

ANNEX B: BUDGET (EXCEL)

INFORMATION DOCUMENTS

ANNEX C: STANDARD CONTRACT (WORD)

ANNEX D: SUBSISTENCE (TRAVEL EXPENSES) AVAILABLE AT THE FOLLOWING ADDRESS
http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm

ANNEX E: APPLICANT'S DECLARATION

ANNEX F: PARTNERSHIP STATEMENT

ANNEX G CHECK LIST

ANNEX H: LOGICAL FRAMEWORK