EFFICIENCY FOR ACCESS

Efficiency for Access Research and Development Fund -
Frequently Asked Questions

Contents

1. Introduction

A. What is the Efficiency for Access (EforA) Coalition?

Efficiency for Access is a global coalition promoting energy efficiency as a potent catalyst in clean energy access efforts. Since its founding in 2015, Efficiency for Access has grown from a year-long call to action and collaborative effort by Global LEAP and Sustainable Energy for All to a coalition of 15 donor organizations. Coalition programmes aim to scale up markets and reduce prices for super-efficient, off- and weak-grid appropriate products, support technological innovation, and improve sector coordination. Current Efficiency for Access Coalition members lead 12 programmes and initiatives spanning three continents, 44 countries, and 22 key technologies.

The Efficiency for Access Coalition is coordinated jointly by CLASP, an international appliance energy efficiency and market development specialist, not-for-profit organization, and the UK's Energy Saving Trust, which specialises in energy efficiency product verification, data and insight, advice, and research.

B. How much funding is available in the third call of the EforA Research and Development (R&D) Fund?

Up to £2 million in funding has been made available for the third call of the EforA Research and Development Fund.

C. Where is the funding coming from for the EforA Research and Development Fund?

Funding for the third call of the EforA Research and Development Fund is primarily from UK aid from the UK Government's Department for International Development (DFID) and the IKEA Foundation, with additional donors also anticipated.

D.   When does the call open and close?
The call opens on 21 January 2020 and will close on 22 March 2020 at 18.00 GMT.

2.   Applying to the EforA Research and Development Fund

A.   How do I apply?
Please ensure you read the Guidance for Applicants, prior to applying to the Fund. Applying to the Fund is a two-stage process. The first stage involves registration of your organisation on the EforA registration and application page. If you have already registered previously then you will not need to register again. Once you are registered you may submit an application form on the same EforA registration and application page. In the application form, you will be asked to provide details of your project, including a project budget spreadsheet and supporting documents. After your application form is submitted, it will be assessed by an EforA assessment panel.

B.   Will there be webinars about the Fund?
Yes, we will be holding two webinars to present the Call and answer questions. The first webinar will be on 3 February at 09:00 GMT, please register here. The second webinar will be held on 13 February 2020 at 16:00 GMT, please register here for the second webinar.

C.   When can I apply?
The Fund is now open to registrations and applications. Applications must be submitted by 22 March 2020 by 18.00 GMT.

D.   Who can apply?
Any legally registered and physically established business, academic organisation, non-profit, public sector organisation, or research and technology organisation based in any country in the world may apply.

E.   How does EforA select grant awardees and what due diligence is involved?
Applications will undergo an assessment by up to two EforA assessors and independent technical experts, selected from a full assessment panel. The applications will be assessed consistently, using the same set of scoring criteria, which is specified in the Guidance for Applicants. Once every application has been assessed, the assessment panel will meet to determine the applications to be funded based on the assessment scores and potentially applying a 'portfolio' approach. A 'portfolio' approach may be used to ensure funding is spread across multiple scope areas, geographic locations, stages of R&D, project durations, project costs, and levels of project risk. We understand the risks involved in R&D and welcome applications for projects that are both high risk and high reward (impact). Unsuccessful applicants will be notified of the outcome of the assessment and may request feedback.

The successful applications will then undergo technical due diligence, which may involve requests for further information and data, interviews, and a site visit. Applicants that pass technical due will undergo financial diligence, involving the checking of audited accounts, and must complete a Due Diligence and Safeguarding Questionnaire. Please note that we understand that some organisations may not be able to answer some due diligence questions affirmatively. Should this be the case for your organisation, please do not let this deter you from applying as we may seek to mitigate these risks in other ways. Successful applicants that pass due diligence will be notified that they are to be awarded a grant.

F.   What are the criteria used for assessment of R&D projects?
Please refer to Section 6 "Applying and Assessment" of the Guidance for Applicants, which provides the assessment criteria and scoring guide.

G. Does the R&D project have to be focused on a specific part or a complete solution?

R&D projects may focus on a both a specific part or a complete solution.

H. What is meant by a weak-grid?

A weak-grid is an electrical grid that is not reliable, e.g. there are numerous power cuts, or voltage levels tend to fluctuate outside of standard values.

I. What do we mean by partners, sub-contractors or supporting parties, and what are the conditions of partnerships?

Partners, sub-contractors and supporting parties are third-party or external organisations that will play a role in the project. The name of these organisations should be provided with a description of their role and the status of their confirmation of participation. Sub-contracting services supplied by partner organisations should exclude any profit element and be charged at cost. Where a partner is also a sub-contractor within a project, it is important that the organisation in receipt of the project funding stays within state aid limits.

If you apply as a partnership, the lead partner will assume responsibility for the project and will be the recipient of the grant funding. At least 50% of the staff budget must be allocated to the lead partner, i.e. staff costs allocated for all other partners and sub-contractors must be less than 50% of the total staff costs. In addition, more than 50% of purchases for capital equipment and other costs must be made by the lead partner.

J. Does my R&D project have to be conducted in a specific country or region?

No, R&D projects may be carried out in any country or region. However, please note that an additional ~8% in score will be given to projects that implement at least part of the project in a UK aid priority country. The UK aid priority countries are –

Afghanistan, Angola, Azerbaijan, Bangladesh, Benin, Burkina Faso, Burundi, Cambodia, Cameroon, Central African Republic, Chad, Comoros, Congo (Democratic Republic of the), Côte d'Ivoire, Djibouti, Egypt (Arab Republic of), Eritrea, Ethiopia, Gambia, Ghana, Guinea, Guinea-Bissau, Haiti, Iraq, Kenya, Kyrgyz Republic, Lao People's Democratic Republic, Lebanon, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mozambique, Myanmar, Nepal, Niger, Nigeria, Pakistan, Papua New Guinea, Rwanda, Sao Tome and Principe, Senegal, Sierra Leone, Solomon Islands, Somalia, South Sudan, Sudan, Swaziland, Tajikistan, Tanzania (United Republic of), The Occupied Palestinian Territories, Togo, Turkmenistan, Uganda, Uzbekistan, Venezuela (República Bolivariana de), Yemen, Zambia and Zimbabwe.

K. How long may projects be conducted for?

As specified in the Guidance for Applicants, the allowable length of your R&D project is based on the stage of your R&D. Early stage projects (feasibility studies) may last 6 to 12 months, mid-stage (industrial research) projects may last 12 to 24 months, and late stage (experimental development) projects may last 12 to 30 months. The definitions of each R&D project stage are detailed in section 9 of the Guidance for Applicants.

L. Does my application have to be in English?

Yes, we do not have the ability to assess applications submitted in languages other than English.

M. What do you mean by matched funding?

Matched funding can be provided in two ways:

- In Cash—Direct financial contributions to the project from the applicant and/or third parties such as donors (individuals, foundations, governments), impact investors or venture capital firms. You may be asked to provide evidence of the matching commitment that details the conditions, timescales as well any other considerations.

- In Kind—In kind matched funding includes any significant and quantifiable contribution to the project that is not financial. This may include use of goods, services and facilities, as well as provision and access to equipment. Evidence will need to be provided to the Fund team when submitting milestone reports for the relevant, applicable milestones.

N. Can I submit more than one application in this call?

Yes, we can accept more than one application from an organisation, as long as each application is unique. Multiple applications cannot be submitted for the same project.

O. How can the EforA team help you with your application?

There are two ways the team can help:

- If you are looking for partner organisations with specifics areas of expertise, the EforA team can help support you in your search by matching you with other organisations looking for partners.
- If you are a micro-sized organisation, as defined in section 3 of the Guidance for Applicants, or your organisation is based in a UK aid priority country, we are available to assist you in reviewing your draft application before the final deadline. Please note that we will provide a basic review (requiring a maximum of 1 hour of EforA staff time) and the comments provided by the reviewer may differ from the ultimate judgement of the application assessors.

If you wish to receive assistance, as specified above, please contact us at EforAgrants@est.org.uk with a request for assistance before 14 February 2020.

P. Can I make updates to my application after submission?

No, you will not be able to update an application once it has been submitted.

Q. Will I have to submit any other forms after completing the application form?

The successful applicants will undergo technical due diligence, which may involve requests for further information and data, interviews, and a site visit. Applicants that pass technical due will undergo financial diligence, involving the checking of audited accounts, and must complete a Due Diligence and Safeguarding Questionnaire.

R. How will I know the status of my application and how can I inquire about the status?

EforA will provide you with confirmation emails after the submission of both the registration form and application form. You will then receive emails when the status of your application assessment changes.

If your application progresses to the due diligence, EforA will contact you to request additional information. EforA may reject an application at any time, and if this occurs you will receive an email notifying you. If your application is recommended for funding, you will receive an email notifying you of this. EforA will then negotiate with you to finalise the award of the funding.

S. Will I receive feedback on my application if it is not successful?

Unsuccessful applicants may request feedback once they are notified of the outcome.

T. Can I submit other applications or similar applications in future funding calls?

Yes, you may submit other applications or a similar application in future funding calls.

U. I have a project idea but I am not sure whether it would be eligible for the EforA Research and Development Fund. Am I able to ask about it?

Yes, you may enquire as to whether your project idea is eligible by contacting EforAgrants@est.org.uk.

V.   Does my organisation have to undergo a financial audit to apply?

You do not have to undergo a financial audit in order to apply. However, in some cases, EforA may require a financial audit if your project progresses to the due diligence stage.

3.   Receiving Funding

A.   What does the EforA Research and Development Fund provide?

- Grant funding.
- A dedicated funding support team at EforA.
- Partnership facilitation assistance – connecting you to relevant partners to help you scale your innovation.
- Global exposure – EforA will help to promote successful project outcomes through our communications platforms. EforA has a wide international reach and a brand with global recognition.

B.   What are the responsibilities of and reporting requirements of grant awardees?

Awardees are responsible for the following activities and documentation during the project:

- Developing a monitoring and evaluation (M&E) plan with the assistance of the EforA M&E team, which must be approved before commencing the project. For reference, please review this sample M&E plan.
- Submitting milestone reports, a final project report and supporting documentation according to the requirements outlined in the grant agreement. For reference, please review the sample grant agreement, milestone report, milestone expenditure spreadsheet and final project report.
- Providing financial reports where requested.
- Requesting approval for any changes in project objectives, milestones and staff.
- Notifying EforA when receiving additional funding from another source for this or any related project.
- Briefing EforA personnel online, over phone or in-country on project progress and outcomes.
- Complying with EforA branding requirements.
- Mutual agreement on any additional provisions.

C.   Does my organisation have to contribute to project costs to be eligible?

Yes. The proportion of funding you are eligible to receive for your project costs is dependent on the size of your organisation:

Organisation size	Staff headcount	Turnover	Or	Balance sheet total	Proportion of funding available for eligible project costs
Micro	<10	≤ £ 2 m		≤ £ 2 m	Up to 90%
Small	< 50	≤ £ 9 m		≤ £ 9 m	Up to 70%
Medium-sized	< 250	≤ £ 45 m		≤ £ 39 m	Up to 60%
Large	> 250	> £ 45 m		> £ 39 m	Up to 50%

The remainder of the project cost must be contributed by your organisation. If you apply as a partnership, the organisation size refers to that of the lead partner, who will assume responsibility for the project and be the recipient of the grant funding. At least 50% of the staff budget must be allocated to the lead partner, i.e. staff costs allocated for all other partners and sub-contractors must be less than 50% of the total staff costs. In addition, more than 50% of purchases for capital equipment and other costs must be made by the lead partner.

D. Are there specific activities for which funding cannot be used?

Eligible and ineligible project costs are listed below:

Eligible project costs	Ineligible project costs
Personnel costs	Profit
Services	Bonuses
Direct overheads	Dividend payment
Travel costs - direct	Interest payment/financing costs
Equipment and materials	Currency exchange
Indirect Overheads: • General office costs • Admin support • IT/HR/support function	Recoverable VAT/local taxes
	Loss of income/opportunity cost
	Patent costs
	Other costs

Please note that VAT will only be funded where you can demonstrate that you cannot reclaim it, so all costs must exclude reclaimable VAT.

E. Can funding be allocated for salary support?

Yes, funds may be spent on personnel costs.

F. Does EforA have guidance regarding acceptable overhead (percentage) for our proposed budget?

When specifying personnel costs in your budget, a maximum overhead rate of 25% may be claimed as project costs. Please be aware, however, that we may ask for evidence of how your overhead rate has been calculated, so please ensure you are able to provide this on request. Additionally, if you are claiming an overhead rate of 25%, you may not charge separately for items that would normally be included in overheads, such as general office costs, etc.

G. How are payments made to awardees?

In your application form, we ask that you propose project milestones and milestone dates. Once the project commences, awardees will be required to submit a milestone report and supporting documentation at the end of each milestone before grant funding is disbursed for that milestone. We shall use reasonable endeavours to make payments within 4 weeks of receiving a complete claim. For reference, please review the milestone report and milestone expenditure spreadsheet. For the final milestone, awardees must complete a final report, which must be reviewed and approved before the final milestone grant disbursement is made. For reference, please review the final project report. EforA will also conduct monitoring and evaluation visits as needed.

H. Do I need to provide receipts for project expenses?

Yes, you will be required to submit relevant receipts and/or invoices for your expenses as evidence of project costs.

I. Does EforA take board seats with its awardees?

No, EforA will not take board seats. However, EforA welcomes awardees to share any board meeting materials and/or read-outs from meetings, as appropriate.

J. Do I have to publicly advertise EforA as the source of the funding? What are the branding requirements if I am awarded funding?

Efficiency for Access encourages awardees to highlight the source of funding where appropriate, such as when you highlight other funding partners. We will share our publicity guidance that provides information on how to communicate about your project. We request you share your external news with EforA prior to publicising it.

K. Who owns intellectual property rights (IPR) developed during the funded R&D project?

Please refer to clauses 9.1, 9.2 and 9.3 in the grant agreement –

All intellectual property rights (IPRs) developed during and or as a result of the funded project, will be owned by the awardee, and not the funding parties (DFID, etc.). However, the funding parties will be granted a world-wide license to the project IP for reporting and administration of the fund.

As a public funder, the UK Government's Department for International Development (DFID) has no intention of using this IPR for commercial purposes. Clause 9.3 of the grant agreement protects awardees from a competing product being developed from the IPR, closing the scope of the license to only allow use of that IP as described in the grant agreement. The licence would be the only benefit to be taken from the agreement, and its use would predominately be focused around Clause 8 of the grant agreement (publicity).