



## **European Commission**

*Investing in People (Development Cooperation Instrument)  
and  
Eastern Partnership Culture programme (European Neighbourhood  
Partnership Instrument)*

### **Strengthening capacities in the cultural sector**

Restricted Call for Proposals 2010

Guidelines for grant applicants

Budget line 21.05.01.03

Budget line 19.08.01.03

Reference: EuropeAid/129338/C/ACT/Multi

Deadline for submission of Concept Notes: **19 November 2010**

## NOTICE

Evaluation grids and application forms have been modified under this call so as to give more weight to relevance in the Concept Note evaluation. Relevance will therefore constitute the major criterion in pre-selection. Relevance will not be evaluated again when assessing the Full Application. **It is therefore of utmost importance that applicants use the correct application form for this call.**

**Prior registration by applicants and partners** in EuropeAid's on-line database, PADOR, available at [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm), is obligatory under the present call for proposals (see section 2.2 below for details). Applicants must be registered before submitting the concept note, while partners must be registered prior to submission of the full application.

**Only submission by email is permitted** under this call for proposals.

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form. Further to the evaluation of the Full Applications, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the European Commission, the signed "Declaration by the Applicant" sent together with the Concept Note and the second Declaration sent together with the Full Application.

## TABLE OF CONTENTS

<b>1. STRENGTHENING CAPACITIES IN THE CULTURAL SECTOR – CULTURAL COOPERATION UNDER 'INVESTING IN PEOPLE' AND THE EASTERN PARTNERSHIP CULTURE PROGRAMME .....</b>	<b>4</b>
<b>1.1. Background.....</b>	<b>4</b>
<b>1.2. Objectives of the Programmes and Priority issues for 2010 .....</b>	<b>5</b>
1.2.1 Objectives and priorities of this Call for Proposals.....	6
<b>1.3. Financial allocation provided by the European Commission .....</b>	<b>11</b>
<b>2. RULES FOR THIS CALL FOR PROPOSALS .....</b>	<b>12</b>
<b>2.1. Eligibility criteria.....</b>	<b>12</b>
2.1.1. Eligibility of applicants: who may apply .....	13
2.1.2. Partnerships and eligibility of partners .....	14
2.1.3. Eligible actions: actions for which an application may be made .....	14
2.1.4. Eligibility of costs: costs which may be taken into consideration for the grant .....	16
<b>2.2. How to apply and the procedures to follow .....</b>	<b>18</b>
2.2.1 Concept Note content.....	18
2.2.2 Where and how to send Concept Notes .....	19
2.2.3 Deadline for submission of the Concept Notes .....	19
2.2.4 Further information for Concept Notes.....	20
2.2.5 Full Application Form.....	20
2.2.6 Where and how to send the Full Application Form .....	21
2.2.7 Deadline for submission of the Full Application form.....	22
2.2.8 Further information for the Full Application Form.....	22
<b>2.3. Evaluation and selection of applications.....</b>	<b>23</b>
<b>2.4. Submission of supporting documents .....</b>	<b>27</b>
<b>2.5. Notification of the European Commission's decision .....</b>	<b>29</b>
2.5.1 Content of the decision .....	29
2.5.2 Indicative time table.....	30
<b>2.6. Conditions applicable to implementation of the action following the European Commission's decision to award a grant .....</b>	<b>31</b>
<b>2.7. Early Warning System And Central Exclusion Database.....</b>	<b>31</b>
<b>3. LIST OF ANNEXES.....</b>	<b>32</b>

# 1. STRENGTHENING CAPACITIES IN THE CULTURAL SECTOR – CULTURAL COOPERATION UNDER 'INVESTING IN PEOPLE' AND THE EASTERN PARTNERSHIP CULTURE PROGRAMME

## 1.1. BACKGROUND

Culture is part of the EU vision of development cooperation, enshrined in the European Consensus on Development<sup>1</sup>, and is an integral part of the European Union's policy framework in the area of human development.

The commitment of EU development policy in the field of culture is included in the Communication on a European agenda for culture in a globalising world<sup>2</sup>, which highlights the role of culture in building bridges across countries and regions as well as an important instrument for sustainable development. The Communication also calls for the systematic integration of the cultural dimension in all EU external action including development policies, as defined in the new Treaty of the functioning of the EU (part 5) and for the promotion of access to culture as a priority.

As defined in this Communication, culture is understood in its multiple facets, referring both to the fine arts, other forms of artistic expressions, cultural goods and services, and to the anthropological meaning. It is the basis for a symbolic world of meanings, beliefs, values, traditions which are expressed in language, art, religion and myths. As such, it plays a fundamental role in human development and in the complex fabric of the identities and customs of individuals and communities.

The EU's vision on culture and development echoes the commitments taken at international level in the framework of the 2005 UNESCO Convention on the Protection and Promotion of the Diversity of Cultural Expressions, to which the European Community and most of its Member States are Parties. The Convention – which entered into force in March 2007 – establishes a new legal framework for international cooperation in the area of culture. It calls for the Parties to integrate culture in their development policies at all levels for the creation of conditions conducive to sustainable development. Related development cooperation should in particular endeavour to strengthen cultural industries, build capacities, transfer technology and provide financial support.

The needs and challenges faced by the cultural sector in developing countries have been reiterated by relevant authorities, artists, cultural professionals and entrepreneurs in the occasion of several international fora. In this regard, the international Colloquium "Culture and Creativity, vectors for development" organised by the European Commission in Brussels in April 2009 played an important role. It facilitated exchanges between policy-makers, professionals, artists, cultural and development specialists and civil society from the Africa, Caribbean and Pacific group of states on the importance of culture for development.

In the Brussels Declaration - presenting the conclusions of the event - artists, professionals and cultural entrepreneurs highlight the lack of public structural policies for the cultural sector as a major constraint hampering the development of the sector.

In the follow-up of the Brussels Colloquium, the International Seminar on Culture and Development hosted by the Spanish Presidency of the European Union in Girona in May 2010 reaffirmed the place of culture in the development agenda. It was agreed to include the cultural dimension of development within the themes for debate during the Millennium Development Goals (MDG) Summit in September 2010. The key role of

---

<sup>1</sup> Joint Statement by The Council and the representatives of the Government of the Member States within the Council, the European Parliament and the Commission on European Union Development Policy: " The European Consensus", adopted by the General Affairs and External Relations Council on 22 November 2005 (OJ C 46, 24.2.2006, p. 1). Document available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2006:046:0001:0019:EN:PDF>.

<sup>2</sup> Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions on a European agenda for culture in a globalizing world (COM(2007) 242 final), <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2007:0242:FIN:EN:PDF>

"cultural governance" was underlined by participants and the need for mobilisation at various levels was highlighted:

- At international level – promoting the ratification of the 2005 UNESCO Convention on the protection and promotion of cultural diversity, strengthening international cooperation and coordination between the actors of this cooperation and developing tools for assessing progress;
- At national level – developing a dialogue with relevant sectors (and helping them to get organised), strengthening government capacity, developing effective systems for identifying and sharing good practices as well as developing partnerships around concrete projects;
- At local level – mainstreaming culture in the urban and regional development strategies, mobilising different types of actors (artists, cultural workers, creative industries, etc.) and strengthening the dialogue with local authorities;
- At the level of the professionals and non-state actors – in order to better structure the different cultural sectors, to better connect them across different countries and regions and to realise the important potential of socio-economic impact that the cultural industries and activities potentially have at local and national level within the partner countries.

## 1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES FOR 2010

The implementation of effective and inclusive cultural policies is essential to foster access to culture and creation for all, promote cultural diversity and support the sustainable development of the cultural sectors. Particular attention needs to be paid to ensure access to cultural activities, services and goods for the most disadvantaged groups, including minorities and disabled persons, through adequate measures combating social, economic and physical barriers. The potential of the cultural sector for human and social development, poverty reduction and economic growth can only be reached within an enabling institutional, regulatory, economic and professional environment. It is also in such a context that cultural diversity can flourish in the respect of the equal dignity of all cultures, including the social, cultural and spiritual values of indigenous peoples and minorities, and that the role of cultural expressions in fighting social inequalities, injustices and all forms of discrimination can be enhanced.

The **thematic programme ‘Investing in People’** pursues a broad approach to development and poverty reduction, with the general aim of improving human and social development levels in partner countries in accordance with the United Nations Millennium Declaration and the Millennium Development Goals. It is based on Article 12 of the Development Cooperation Instrument (DCI)<sup>3</sup>, and is detailed in the Strategy Paper for the Thematic Programme 2007-2013<sup>4</sup>.

A component of the fourth theme of the programme – ‘Other aspects of human and social development’ – is dedicated to promote access to local culture and to protect and promote cultural diversity. Under this theme, the programme aims namely to promote inter-cultural dialogue, cultural diversity and respect for the equal dignity of all cultures and to support culture as a promising economic sector for development and growth. It also promotes access to culture for all, by strengthening local cultural capacity, promoting private/public partnerships, supporting intercultural dialogue at all levels, promoting South-South cooperation, supporting preservation of both the material and immaterial cultural heritage, supporting establishment of networks for exchanges of expertise and good practice, and supporting training and professionalization of the sector.

Governance of the cultural sector has been identified as the priority area of intervention under the Investing in People 2010 Action Programme in order to support developing countries in creating an enabling environment for a thriving sector, notably through the development of appropriate policies.

The concept of governance of the cultural sector is multidimensional and covers the overall actions and measures undertaken by international institutions, regional organisations, governments, local authorities,

---

<sup>3</sup> Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation (OJ L 378, 27.12.2006, p. 41): <http://eur-lex.europa.eu/lex/LexUriServ/LexUriServ.do?uri=OJ:L:2006:378:0041:0071:EN:PDF>

<sup>4</sup> [http://ec.europa.eu/development/policies/9interventionareas/humandev\\_en.cfm](http://ec.europa.eu/development/policies/9interventionareas/humandev_en.cfm).

civil society, as well as by the institutions, organisations and enterprises of the cultural sector. These actions and measures contribute to shaping the political, regulatory, institutional and economic environment where cultural sectors operate.

As regards the **Eastern Partnership region** (Ukraine, Moldova, Georgia, Azerbaijan, Armenia, and Belarus), the European Council of March 2009<sup>5</sup> welcomed the establishment of an ambitious Eastern Partnership as a specific Eastern dimension of the European Neighbourhood Policy (ENP) to promote stability and prosperity among the EU's Eastern partners and to accelerate reforms, legislative approximation, and economic integration. It endorsed the launch of Flagship Initiatives as a way to give momentum and concrete substance to the Partnership. The Eastern Partnership recognises the value of cultural cooperation and inter-cultural dialogue as an integral part of all external policies and has underlined the importance of cultural cooperation in addressing political processes and challenges. Therefore, the Eastern Partnership has called for a specific regional Eastern Partnership Culture Programme that will strengthen the capacity of the cultural sector in the region and enhance the role of culture as a force for reform, promotion of tolerance, and social cohesion<sup>6</sup>.

The present call for proposals targets governance at regional, national and local level focusing on aspects related to the role, management, structure, operating modes and representativeness of professional associations and groups, networks of cultural actors and civil society organisations active in the area of culture and its sectors. Cultural sectors include the set of activities with an artistic and/or cultural content across the value chain of the cultural industries (such as music, cinema and audiovisual, books and publishing, heritage, visual arts, performing arts, etc.) and also transversal sectors like cultural tourism, education or communication.

### *1.2.1 Objectives and priorities of this Call for Proposals*

The **overall objective** of this call for proposals is to contribute to the creation of a political, regulatory, institutional and economic environment conducive to the strengthening of the cultural sectors and their actors as a vector for sustainable economic, social and human development.

The call for proposals is divided into two lots with the same overall objective but some different specific objectives and different geographic dimensions.

Applications must concern **only one** of the following lots:

#### **Lot 1: 'Investing in People'**

##### *Specific objectives*

Applications must address at least one of the following specific objectives:

- strengthen capacities of public, semi-public and private actors involved in the governance and structuring of the cultural sectors, regarding the role and representativeness of professionals, entrepreneurs, artists and civil society organisations;
- support participation of civil society in processes enhancing cultural governance at local, national, regional and interregional levels, promoting inclusive cultural policies in respect of cultural diversity and fostering access to culture for all;
- contribute to creating adequate conditions for the development of cultural activities and cooperation in the context of regional integration and international networking.

<sup>5</sup> In accordance with the Communication from the Commission to the European Parliament and the Council - Eastern Partnership of 3 December 2008 (COM (2008) 823 final), <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2008:0823:FIN:EN:PDF>

<sup>6</sup> EU Presidency Conclusions of the European Council of 19/20 June 2008, paragraph 78. [http://www.consilium.europa.eu/uedocs/cms\\_data/docs/pressdata/en/ec/101346.pdf](http://www.consilium.europa.eu/uedocs/cms_data/docs/pressdata/en/ec/101346.pdf)

### ***Type of actions***

Activities may include, but are not limited to:

- support to the establishment, reform and/or strengthening of cultural institutions and specialised agencies;
- involvement of civil society in the elaboration and implementation of cultural policies, including actions concerning the protection of intellectual property and anti-piracy strategies;
- participation of the most disadvantaged and isolated groups of the society, including minorities and persons with disabilities;
- support to the integration of the cultural dimension in regional integration strategies and regional cooperation, as well as development of institutional capacity in the cultural sectors;
- creation and development of centres of expertise providing support to cultural actors in programming, implementing and financing cultural strategies, programmes and projects;
- reinforcement of institutional, managerial and advocacy capacities of cultural actors and networks;
- establishment, strengthening and structuring of professional associations and networks, including virtual networks;
- exchanges of best practices and transfer of competences (including training activities) between organisations and networks at regional and interregional levels, including within South-South and North-South platforms;
- creation and development of innovative public-private partnerships;
- collection and dissemination of information, needs analysis, communication and lobbying strategies, innovative approaches contributing to the development of the cultural sector.

**NB.: The organisation of cultural or artistic activities must not be the main objective of proposed actions. Nevertheless, some such activities may be included provided that they constitute a minor part of the action and contribute to the achievement of the specific objectives mentioned above.**

Target groups include: cultural institutions and associations representing the cultural sectors; local authorities; specialized agencies and autonomous entities in specific cultural sectors, such as heritage, cinema and audiovisual, books and publishing, etc; regional integration organisations and other institutions involved in culture at regional level; chambers of commerce and associations of entrepreneurs; professional organisations and related associations; other civil society entities involved in culture, such as coalitions for cultural diversity; networks of professionals and associations of networks.

### ***Priorities***

In order to foster South-South co-operation and promote exchange of experiences, transfer of competences and the promotion of synergies, priority will be given to actions that:

- 1) have a regional or cross-regional<sup>7</sup> dimension (i.e. activities must take place in at least two of the eligible beneficiary countries – see section 2.1.3, Lot 1); and
- 2) involve a transnational partnership which includes:
  - at least three partners, including the applicant,

---

<sup>7</sup> See definitions in section 2.

- a majority of partners having the nationality<sup>8</sup> of the eligible beneficiary countries where the proposed action is to take place<sup>9</sup> (see section 2.1.3, Lot 1).

Applications concerning a cross-regional action and involving inter alia partners from the countries of the Eastern Partnership region must be submitted under Lot 1<sup>10</sup>. In this case, the partnership must involve a majority of partners having the nationality of non-Eastern Partnership beneficiary countries listed in Annex H to the present guidelines.

Full attention should also be paid to the quality and the composition of the partnership (see section 2.3 below – Concept Note evaluation grid, and Full Application evaluation grid). In this context, the applicant should demonstrate expected benefits and added value of the proposed partnership; and

3) are submitted by applicants having the nationality of one of the beneficiary countries of the action (see section 2.1.3, Lot 1), so as to promote ownership and a strong local leadership.

Adherence to the above priorities will be assessed under section 2.3 (Concept Note evaluation grid, subheading 1.1).

In addition, promoting or consolidating public/private partnerships are considered to bring added value.

## **Lot 2: Eastern Partnership Culture Programme**

### ***Specific objectives***

Applications must address at least one of the following specific objectives:

- strengthen capacities of public, semi-public and private actors involved in the governance and structuring of the cultural sectors, regarding the role and representativeness of professionals, entrepreneurs, artists and civil society organisations, with the aim of enhancing the role of culture in national agendas for development;
- supporting awareness raising and cultural initiatives having a regional impact on sustainable economic and social development, democratization, and enhanced inter-cultural dialogue, promoting inclusive cultural policies in respect of cultural diversity and fostering access to culture for all;
- contribute to creating adequate conditions for the development of cultural activities and cooperation in the context of regional integration and international networking;
- strengthening regional links and dialogue within the region of the Eastern Partnership, and between the EU and countries of the Eastern Partnership in respect to cultural networks and actors.

### ***Type of actions***

Activities may include, but are not limited to:

- support to the establishment, reform and/or strengthening of cultural institutions and specialised agencies;

---

<sup>8</sup> Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the internal law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if they are registered locally or have signed a “Memorandum of Understanding”.

<sup>9</sup> In the exceptional cases where the involvement of organisations having the nationality of the targeted country is not possible due to the particular situation in the said country, the applicant must provide explanations, which will be examined in the context of the evaluation.

<sup>10</sup> Applications targeting the eligible Eastern Partnership countries (Ukraine, Moldova, Georgia, Azerbaijan, Armenia, and Belarus) only must be submitted under lot 2.



- involvement of civil society in the elaboration and implementation of cultural policies, including actions concerning the protection of intellectual property and anti-piracy strategies;
- participation of the most disadvantaged and isolated groups of society, including minorities and persons with disabilities;
- support to the integration of the cultural dimension in regional integration strategies and regional cooperation, as well as development of institutional capacity in the cultural sectors;
- creation and development of centres of expertise providing support to cultural actors in programming, implementing and financing cultural strategies, programmes and projects;
- reinforcement of institutional, managerial and advocacy capacities of cultural actors and networks;
- establishment, strengthening and structuring of professional associations and networks, including virtual networks;
- exchanges of best practices and transfer of competences (including training activities) between organisations and networks at regional and interregional levels, including within South-South and North-South platforms;
- creation and development of innovative public-private partnerships;
- collection and dissemination of information, needs analysis, communication and lobbying strategies, innovative approaches contributing to the development of the cultural sector;
- development of regional tourism oriented towards tangible and intangible cultural sites and increasing public access to cultural resources;
- support to the development of new audiences with particular attention to children and youth;
- development of new approaches to cross-border education and outreach programmes in the areas of arts and culture;

**NB.: The organisation of cultural or artistic activities must not be the main objective of proposed actions. Nevertheless, some such activities may be included provided that they constitute a minor part of the action and contribute to the achievement of the specific objectives mentioned above.**

Target groups include: cultural institutions and associations representing the cultural sectors; local authorities; specialized agencies and autonomous entities in specific cultural sectors, such as heritage, cinema and audiovisual, books and publishing, etc; regional integration organisations and other institutions involved in culture at regional level; chambers of commerce and associations of entrepreneurs; professional organisations and related associations; other civil society entities involved in culture, such as coalitions for cultural diversity; networks of professionals and associations of networks.

### ***Priorities***

In order to foster co-operation in the Eastern Partnership region and promote exchange of experiences, transfer of competences and the promotion of synergies, priority will be given to actions that:

- 1) have a regional dimension (i.e. activities must take place in at least two countries of the Eastern Partnership region); and
- 2) involve a transnational partnership, which includes:
  - at least three partners, including the applicant,

- partners having the nationality<sup>11</sup> of at least two different countries from the Eastern Partnership region: Ukraine, Moldova, Georgia, Azerbaijan, Armenia and Belarus.
- a majority of partners having the nationality of countries of the Eastern Partnership region<sup>12</sup>.

Full attention should also be paid to the quality and the composition of the partnership (see section 2.3 below – Concept Note evaluation grid, and Full Application evaluation grid). In this context, the applicant should demonstrate expected benefits and added value of the proposed partnership. There is no maximum number of partners but all partners must be carefully chosen and play an active role in the actions proposed. It is highly recommended not to involve more partners than are needed; and

3) are submitted by applicants having the nationality of one of the beneficiary countries of the action (see section 2.1.3, Lot 2), so as to promote ownership and a strong local leadership.

Adherence to the above priorities will be assessed under section 2.3 (Concept Note evaluation grid, subheading 1.1).

In addition, promoting or consolidating public/private partnerships are considered to bring added value.

“Vertical partnerships” (partnerships composed by legal entities belonging to different sectors of activity) are encouraged.

---

<sup>11</sup> See footnote 8.

<sup>12</sup> See footnote 9

### **1.3. FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION**

The indicative financial envelope from the 2010 budget of the European Union foreseen for this call for proposals is as follows:

- **Lot 1:** EUR 7 000 000
- **Lot 2:** EUR 8 400 000.

The European Commission reserves the right not to award all available funds. Equally, this amount could be increased should more funds become available.

#### **Size of grants**

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

#### **Lot 1:**

- Minimum amount: EUR 250 000
- Maximum amount: EUR 400 000

#### **Lot 2:**

- Minimum amount: EUR 400 000
- Maximum amount: EUR 700 000

A grant may not exceed 80% of the total eligible costs of the action (see also section 2.1.4). The balance (i.e. the difference between the total cost of the action and the amount requested from the EC) must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines 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 EU external actions.

The majority of terms used in the present guidelines are explained in the Glossary to the Practical Guide to contract procedures for EU external actions.

The afore-mentioned Practical Guide and the Glossary can be consulted at the following Internet address:  
[http://ec.europa.eu/europeaid/work/procedures/implementation/practical\\_guide/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm)

In addition, the following definitions apply:

<b>Partnership</b>	the grouping of organisations, i.e. the main applicant and its partners, for the purpose of implementing the proposed action
<b>Applicant</b>	the organisation responsible for submitting the application
<b>Partner</b>	member organisation of the partnership other than the applicant
<b>Associate</b>	organisation that plays an active role in the action but which cannot benefit from funding under the grant
<b>Subcontractor</b>	organisation contracted by the beneficiary and/or its partners in accordance with the appropriate procedures in order to execute specific tasks in implementing the action
<b>Re-granting</b>	financial support that may be given to third parties by the beneficiary of the EU grant where the implementation of the action so requires, subject to the conditions laid down in Articles 120 of the Financial Regulation and 184a of the Implementing Rules of the Financial Regulation <sup>13</sup>
<b>Regional action</b>	action implemented in two or more countries within the same geographically coherent area
<b>Cross-regional action</b>	action implemented in two or more geographical areas as defined under "regional action" above

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- organisations which 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 cost which may be taken into account in setting the amount of the grant (2.1.4).

---

<sup>13</sup> [http://ec.europa.eu/budget/documents/financial\\_regulation\\_en.htm](http://ec.europa.eu/budget/documents/financial_regulation_en.htm)

### 2.1.1. Eligibility of applicants: who may apply

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

- be legal persons **and**
- be non-profit making **and**
- belong to one of the following categories:
  - non-state actors<sup>14</sup>;
  - public or para- Statal bodies and local authorities and consortia or representative associations thereof<sup>15</sup>;
  - regional intergovernmental organisations;

**and**

- be nationals<sup>16</sup> of:

#### **Lot 1**

- an eligible partner country or territory under the DCI instrument as listed in Annex H to the present guidelines or of a country specified in the OECD/Development Assistance Committee (OECD/DAC)<sup>17</sup> list ; or
- an European Economic Area (EEA) Member State<sup>18</sup>; or
- an official EU candidate country (Croatia, Turkey, The Former Yugoslav Republic of Macedonia).

Furthermore, for proposed actions taking place exclusively in the least developed countries as defined by the OECD/DAC<sup>19</sup> reciprocal access shall be granted to the members of the aforementioned Committee<sup>20</sup>.

#### **Lot 2**

- a country of the Eastern Partnership: Ukraine, Moldova, Georgia, Azerbaijan, Armenia, and Belarus; or
- an EEA Member State<sup>21</sup>; or

---

<sup>14</sup> Lot 1: As defined by article 24.2 of Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation, available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:378:0041:0071:EN:PDF>

Lot 2: As defined by article 14.1 of regulation (EC) No 1638/2006 of the European Parliament and of the Council of 24 October 2006 establishing a European Neighbourhood and Partnership Instrument, available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:310:0001:0014:EN:PDF>

<sup>15</sup> A formal consortium or association of local authorities may submit an application under the name of the legally constituted consortium or association. If the consortium is an informal grouping for the purposes of this call, the application must be submitted under the name of a lead local authority with the others acting as partners. See section 2.4 for the supporting documents to be provided in each case.

<sup>16</sup> See footnote 8. Regional intergovernmental organisations do not by definition have a nationality and therefore the nationality criterion does not apply to them.

<sup>17</sup> Annex II of Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation, OJ L378, 27/12/2006, as amended by Regulation (EC) No 960/2009 of 14 October 2009, OJ L270, 15/10/2009, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:270:0008:0011:EN:PDF>

<sup>18</sup> The 27 EU Member States, Iceland, Liechtenstein and Norway.

<sup>19</sup> See footnote 17.

<sup>20</sup> Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Korea, Dem. Rep., Luxemburg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States.

- an eligible beneficiary country under the Instrument for Pre-Accession Assistance<sup>22</sup>: Croatia, the Former Yugoslav Republic of Macedonia, Turkey, Albania, Bosnia, Montenegro and Serbia, as well as Kosovo (under United Nations Security Council Resolution 1244/99).

**and**

- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

(2) Potential applicants may not participate in Calls for Proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the Internet address indicated at the beginning of the section 2).

In part A, section IV and, if applicable, in part B, section VII of the Grant Application Form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

### *2.1.2. Partnerships and eligibility of partners*

Applicants’ partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. They must therefore satisfy the same eligibility criteria as applicants.

In addition to the categories referred to in section 2.1.1, the following are also eligible as partners in the proposed action:

- profit- making entities (companies, firms and other private organisations and businesses), provided they make no profit from the grant.

**The following are not partners and do not have to sign the “partnership statement”:**

#### Associates

Other organisations may be involved in the action. Such associates play a real role in the action, but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. The associates have to be mentioned in Part B section V - “Associates of the applicant participating in the action” of the Grant Application Form.

#### Subcontractors

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract (see Annex F indicated in Section 3 of the present Guidelines).

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

### *2.1.3. Eligible actions: actions for which an application may be submitted*

An action (i.e. project) is composed of a set of activities.

---

<sup>21</sup> See footnote 18.

<sup>22</sup> Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA) : <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:32006R1085:EN:NOT>

## **Duration**

The planned total duration of an action may not be lower than 18 months nor exceed 36 months.

## **Sectors or themes and types of action**

Actions must be in line with the objectives, priorities and criteria indicated in section 1.2.1 above.

## **Location**

### **Lot 1:**

Actions must take place in **at least two of the DCI eligible partner countries or territories indicated in Annex H to the present guidelines.**

If duly justified by the nature of the action, certain activities may take place in other countries provided that these activities constitute only a minor part of the action, that they benefit directly the target groups from the beneficiary countries or territories and that they contribute directly to the objectives of the present call for proposals. In such cases, the applicant must provide explanations which will be examined in the context of the evaluation.

NB: Applications concerning a cross-regional action involving inter alia countries of the Eastern Partnership region must be submitted under lot 1<sup>23</sup>.

### **Lot 2:**

Actions must take place in **at least two of the following countries of the Eastern Partnership: Ukraine, Moldova, Georgia, Azerbaijan, Armenia, and Belarus.** Whenever relevant, certain activities may also take place in the EU Member States involved in the partnership.

If duly justified by the nature of the action, certain activities may take place in other countries provided that these activities constitute only a minor part of the action, that they benefit directly the target groups from the beneficiary countries or territories and that they contribute directly to the objectives of the present call for proposals. In such cases, the applicant must provide explanations which will be examined in the context of the evaluation.

## **Visibility**

Applications should include a communication and visibility strategic plan both in the Full Application and the budget in line with the Communication and Visibility Manual for EU External Actions available at

[http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)

## **Monitoring and Evaluation**

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

## **Re-granting**

Where the implementation of the proposed action requires financial support to be given to third parties, the applicant may propose awarding sub-grants.

---

<sup>23</sup> See footnote 10

Any such re-granting must be duly justified. The applicant must indicate in the proposal (Full Application Form) the total amount to be awarded in the form of sub-grants and specify the minimum and maximum amounts that may be allocated to third parties. In addition, the applicant must specify the criteria to be used to select the beneficiaries of these sub-grants. A list of the different types of activity which may be eligible for sub-grants must be included in the proposal.

The maximum amount for a sub-grant per third party is limited to EUR 10,000 while the total amount which can be awarded in the form of sub-grants to third parties is limited to EUR 100,000.

In no circumstances may re-granting be the principal activity of the proposed action.

**The following types of action are ineligible:**

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the life-time of the action. For these purposes, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such "wider activities";
- actions supporting political parties;
- actions including proselytism;
- actions concerned only or mainly with academic research (whereas applied research activities, demonstrative or pilot actions aiming to establish an effective cooperation among academic and governmental institutions (or local authorities) may be foreseen as part of the action);
- actions with a commercial purpose such as development of printing companies, building of exhibition spaces or others similar activities.

**Number of proposals and grants per applicant**

An applicant may submit more than one proposal under this Call for Proposals.

An applicant may not be awarded more than one grant under this Call for Proposals.

An applicant may at the same time be partner in another application.

Partners may take part in more than one application.

**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. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". The eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

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 European Commission 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.

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



### **Eligible direct costs**

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex F to the present guidelines).

### **Contingency reserve**

A contingency reserve not exceeding 5% of the direct eligible costs of the action may be included in the Budget of the action. It can only be used with the **prior written authorisation** of the European Commission.

### **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 direct eligible costs.

If the applicant is in receipt of an operating grant financed from the European Union budget no indirect costs may be claimed within the proposed budget for the action.

### **Contributions in kind**

Contributions in kind are not considered as expenditure and are not eligible costs. Contributions in kind may not be treated as co-financing by the beneficiary.

The cost of staff assigned to the action is not a contribution in kind and may be considered as co-financing in the Budget of the action when paid by the beneficiary or partners.

Notwithstanding the above, if the description of the action as proposed by the beneficiary foresees contributions in kind, such contributions must be provided during implementation.

### **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 buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes.

**NB:** The Regulation (EC) No 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (OJ L 378, 27.12.2006), does not allow Community assistance to be used for paying taxes, duties or charges in beneficiary countries.

- credits to third parties.

## 2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

This is a restricted Call for Proposals. **In the first instance, only Concept Notes must be submitted for evaluation**. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form.

Registration in the PADOR system (Potential Applicant Data On-Line Registration), available at [http://ec.europa.eu/europeaid/work/online-services/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm) is **obligatory** both for applicants and partners

PADOR is an on-line database in which organisations register themselves and update regularly their data. Data provided by organisations in PADOR is used by the European Commission for verifying that the partnership composition requirements are met (See Section 1.2.1), for evaluating the operational and financial capacity criteria as well as for checking the eligibility of the organisations that participate in calls for proposals. This data concerns the organisation itself, it is not linked to a particular project proposal.

**Applicants must be registered before submitting the concept note, while partners must be registered prior to submission of the full application.** Applicants must complete all the sections presented in PADOR with the exception of the section "Strategy and Methodology". The partners must complete all PADOR sections with the exception of the sections "Board of Directors" and "Strategy and Methodology". All the required supporting documents for applicants and partners (see Section 2.4 below) must be uploaded into PADOR. The EuropeAid ID number (assigned upon registration in PADOR) of the applicant organisation must be indicated in the Concept Note.

Before starting the registration of your organisation in PADOR, the following should be consulted:

- the quick guide (that explains, on one page, the process of registration in PADOR);
- the Frequently Asked Questions;
- the PADOR user's guide.

These 3 documents are available on the website indicated above.

Notwithstanding the above, where PADOR registration is objectively impossible, the applicant can submit a request for derogation concerning its registration in PADOR and/or that of any partner(s). **In this case, it is compulsory for the applicant and/or the partner(s) concerned to complete the PADOR Derogation Pack (Annex JA and JB to these Guidelines) and to send it by e-mail together with the Concept Note for the applicant or with the full application, for partner(s) to the e-mail address indicated in section 2.2.2 below.** The justification for derogation must be based on the objective impossibility of the applicant and/or its partner(s) to register in PADOR. This objective impossibility should go beyond the control of the applicant and/or its partner(s) and, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant and/or its partner(s) themselves). The applicant should provide, where possible, supporting documents substantiating its request. Any derogation granted will apply only to the specific call for proposals in the context of which it was requested. If derogation is granted, registration in PADOR shall be initiated by the European Commission. If, at a later stage, the organisation wishes to update its data itself, an access request will have to be sent to the PADOR help desk at the address indicated hereafter.

All questions related to the registration in PADOR should be addressed **to the PADOR help desk:**

[Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu)

### 2.2.1 *Concept Note content*

Applications must be submitted using Part A – Concept Note of the Grant Application Form (Annex A), taking care to use the correct application documents for this Call to be downloaded from the EuropeAid website at <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

Any Concept Note using the format relating to any other Call may be **rejected**.

Concept Notes must be submitted in one of the following EU languages: **English, French, Spanish or Portuguese**, whichever is the one most commonly used by the target population in the country in which the action takes place.

In the Concept Note, applicants are only required to provide an estimate of the requested amount of the EU contribution. Only the applicants invited to submit a full proposal will be required to present a detailed budget.

Any error or major discrepancy in the Concept Note may lead to the rejection of the Concept Note.

Clarifications may only be requested when information provided is unclear, thus preventing the European Commission from conducting an objective assessment.

Hand-written Concept Notes will not be accepted.

The Concept Note together with the Checklist (Part A, section III of the Grant Application Form) and the Declaration by the applicant (Part A, section IV of the Grant Application Form) **must be submitted by e-mail** to the address indicated in section 2.2.2. below.

**Only the Concept Note will be evaluated. It is therefore of utmost importance that this document contains ALL relevant information concerning the action. No additional annexes should be submitted.**

#### 2.2.2 *Where and how to send Concept Notes*

Concept Notes **must** be submitted **by e-mail only** to the following address:

**[EuropeAid-CULTURE2010@ec.europa.eu](mailto:EuropeAid-CULTURE2010@ec.europa.eu)**

The subject field of the e-mail must bear the reference of the Call for Proposals, the specific lot (1 or 2), for which the applicant is submitting a concept note, and the name of the applicant organisation.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Concept Note. Please note that if several Concept Notes are sent from the same e-mail address on the same day, **only one acknowledgment of receipt will be generated**.

This mailbox can **only** be used to submit Concept Notes (see section 2.2.4 for the e-mail address to be used for sending questions).

Concept Notes sent by other means (registered mail, courier service, fax, hand delivery, etc.) or to any other e-mail address may be rejected.

**Applicants must verify that their Concept Note is complete using the Checklist (Part A, section III of the Grant Application Form). Incomplete Concept Notes may be rejected.**

#### 2.2.3 *Deadline for submission of the Concept Notes*

The deadline for the submission of Concept Notes is **19 November 2010 at 24:00 hrs** (Brussels date and time).

Applicants are strongly advised **not to wait until the last day** to submit their concept notes, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to

difficulties in submission. The European Commission cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any Concept Note sent after the deadline will be rejected.

#### 2.2.4 *Further information for Concept Notes*

**Information sessions on this call for proposals will be organised on the dates and at the addresses which will be communicated in due course in the indicative calendar mentioned under section 2.5.2.**

The information pack distributed to participants at these sessions will be published on the day of the first information session on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call. In case any EU Delegation in the partner countries organises an information session, information regarding these sessions will be published both on the website of the EU Delegation concerned (see list at: [http://ec.europa.eu/external\\_relations/delegations/web\\_en.htm](http://ec.europa.eu/external_relations/delegations/web_en.htm)) and the above mentioned EuropeAid website, together with the other documents related to this call, as appropriate.

**Questions (except those related to registration in PADOR)** may be sent by e-mail no later than 21 days before the deadline for the submission of Concept Notes to the address below, **indicating clearly the reference of the Call for Proposals and the lot (1 or 2):**

E-mail address: [EuropeAid-GlobalCalls@ec.europa.eu](mailto:EuropeAid-GlobalCalls@ec.europa.eu)

Replies will be given no later than 11 days before the deadline for the submission of Concept Notes. The European Commission has no obligation to provide further clarifications after this date.

After the deadline for submission of Concept Notes, the above-mentioned e-mail address can only be used by the European Commission to initiate correspondence regarding any requests for clarification that may be required.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox (See Section 2.5.2 – Indicative calendar).

**In the interest of equal treatment of applicants, the European Commission cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities.**

In addition, during the course of the evaluation procedure, important notices to applicants may be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call, as the need arises. The applicants are therefore strongly encouraged to regularly consult this webpage.

All questions related to PADOR registration should be addressed **to the PADOR help desk:**  
[Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu)

#### 2.2.5 *Full Application Form*

Applicants invited to submit a Full Application Form following the pre-selection of the Concept Note must do so by using the application documents annexed to the present Guidelines: Annex A, Part B – Full Application Form, Annex B – Budget and Annex C – Logical Framework. These can be downloaded from the EuropeAid website at the address indicated in section 2.2.1. Applicants should keep strictly to the format of the application form and fill in the paragraphs and pages in order taking care to use the correct application documents for this Call. Applications submitted on application documents relating to any other call **may be rejected**.

**Budgetary information concerning the action should be provided using round figures and be presented only in the Budget (Annex B).**

Applicants should note that there are **two worksheets in Annex B** to be completed:

**Worksheet 1** – "Budget for the action" (worksheet 1 must include **all eligible costs** that are foreseen to be incurred by the action), and

**Worksheet 2** – "Expected sources of funding" (worksheet 2 must indicate the amount and percentage of financing per source, i.e. requested EU contribution, applicant's contribution, any other donors' contributions, etc). NB. See section 1.3 for the rules on maximum percentage of EU contribution.

The amount of the requested EU contribution may vary in this detailed budget from the initial Concept Note estimate by not more than 20% but must still respect the limits indicated in section 1.3. Any variation higher than 20% should be duly justified in the Grant Application Form (Annex A, Part B, section II.2).

Applicants must submit their full applications in the same language as their Concept Note.

The Full Application Form should be completed carefully and as clearly as possible to facilitate the evaluation. The reference number allocated to the Concept Note by the European Commission should appear on the cover page of the Full Application Form.

The elements contained in the Concept Note cannot be modified in the Full Application Form.

Any error related to the points listed in the Checklist (Part B, section VI of the Grant Application Form) or any major inconsistency in the Full Application Form may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing the European Commission from conducting an objective assessment.

Hand-written applications will not be accepted.

The Full Application Form, the budget and the logical framework **must** be submitted **by e-mail** to the address indicated in section 2.2.2. below.

Each component of the application (Annex A- Part B- Full Application Form, Annex B- Budget and Annex C- Logical Framework) must be submitted in a one separate electronic file (for example, the application form must not be split into several different electronic files) and should not contain coloured or high resolution graphs, images or diagrams.

**Only the Full Application Form and the published annexes which must be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. No supplementary annexes should be sent.**

2.2.6 <i>Where and how to send the Full Application Form</i>
--

The Full Application Form **must** be submitted **by e-mail only** to the following address:

[EuropeAid-CULTURE2010@ec.europa.eu](mailto:EuropeAid-CULTURE2010@ec.europa.eu)

The subject field of the e-mail must bear the reference of the Call for Proposals, the specific lot (lot 1 or 2) for which the applicant is submitting a full application the name of the applicant organisation and the number allocated by the European Commission to the application at Concept Note stage.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Full Application. Please note that if several Full Applications are sent from the same e-mail address on the same day, **only one** acknowledgment of receipt will be generated.

This mailbox can **only** be used to submit Full Applications (see section 2.2.8 for the e-mail addresses to be used for sending questions).

Full Applications sent by other means (registered mail, courier service, fax, hand delivery, etc.) or to any other e-mail address **may be rejected**.

The Checklist (Part B, Section VI of the Grant Application Form) and the Declaration by the applicant (Part B, Section VII of the Grant Application Form) must be enclosed in the e-mail.

**Applicants must verify that their application is complete using the Checklist (Part B, section VI of the Grant Application Form). Incomplete applications may be rejected.**

#### **2.2.7** *Deadline for submission of the Full Application form*

The deadline for the submission of the Full Application Forms will be indicated in the letter sent to the pre-selected applicants.

Applicants are strongly advised **not to wait until the last day** to submit their Full applications, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The European Commission cannot be held responsible for delay due to such aforementioned difficulties.

Any Full Application Form sent after the deadline **will be rejected**.

#### **2.2.8** *Further information for the Full Application Form*

Questions concerning Full Application Forms (except those related to registration in PADOR) may be sent by e-mail no later than 21 days before the deadline for the submission of applications to the address below, **indicating clearly the reference of the Call for Proposals and the lot (1 or 2):**

E-mail address: [EuropeAid-GlobalCalls@ec.europa.eu](mailto:EuropeAid-GlobalCalls@ec.europa.eu)

Replies will be given no later than 11 days before the deadline for the submission of the Full Application Forms. The European Commission has no obligation to provide further clarifications after this date.

After the deadline for submission of Full Application Forms, the above-mentioned e-mail address can only be used by the European Commission to initiate correspondence regarding any requests for clarification that may be required.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox.

**In the interest of equal treatment of applicants, the European Commission cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities.**

In addition, during the course of the evaluation procedure, important notices to applicants may be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call, as the need arises. The applicants are therefore strongly encouraged to regularly consult this webpage.

All questions related to PADOR registration should be addressed **to the PADOR help desk:**  
[Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu)

## 2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the European Commission according to the following steps and criteria.

If at any stage in the evaluation process any component of the application (the applicant, a partner or the action) is identified as not fulfilling the eligibility criteria specified in Section 2.1.1, 2.1.2 and 2.1.3 of the present guidelines, the application may be rejected on that sole basis.

### (1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK OF THE CONCEPT NOTE

The following will be assessed:

- The deadline has been respected. If the deadline has not been respected, the proposal will be rejected.
- The Concept Note satisfies all the criteria mentioned in points 1-3 of the Checklist (part A, section III of the Grant Application Form). 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 be evaluated further.

Following this session, the European Commission will inform all applicants by email, whether their Concept Note was submitted prior to the deadline, and whether their Concept Note has been recommended for evaluation.

The European Commission reserves the right to proceed directly to the evaluation of the Concept Notes (step 2) submitted within the deadline and in one of the languages specified in section 2.2.1 of the guidelines.

### (2) STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes will cover the relevance of the action, and its design.

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 Part A – Concept Note of the Grant Application Form.

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.

#### Evaluation Grid

1. Relevance of the action	Scores	
	Sub-score	40
1.1 How relevant is the proposal to the <b>objectives</b> and <b>priorities</b> of the Call for Proposals?  Note: The maximum score will only be allocated if the proposal addresses all the priorities set for each lot (see section 1.2.1).  A score of 1 point only will be allocated if the proposal does not comply with the partnership composition requirements stipulated in section 1.2.1 of these guidelines.	5x3*	

1.2 How relevant to the particular <b>needs and constraints</b> of the target country/countries or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication)	5x2*	
1.3 How clearly defined and strategically chosen are those involved ( <b>final beneficiaries, target groups</b> )? Have their <b>needs</b> been clearly defined and does the proposal address them appropriately?	5x2*	
1.4 Does the proposal contain <b>specific added-value elements</b> , in particular promotion or consolidation of public/private partnerships, innovation and best practices, or other cross-cutting issues such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples?	5	
<b>2. Design of the action</b>	Sub-score	<b>10</b>
2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5	
<b>TOTAL SCORE</b>		<b>50</b>

\*the scores are multiplied by 2 or 3 because of their importance

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 30 points in the category "Relevance" as well as a minimum total score of 35 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance with the ranking to those whose sum of requested contributions amounts to at least twice the available budget for this Call for Proposals. The pre-selected applicants will subsequently be invited to submit Full Application Forms.

The relevance of proposals will only be assessed at the Concept note stage. Scores awarded to that criterion in the concept note evaluation will be taken into account in the full application evaluation.

### **(3) STEP 3: OPENING SESSION AND ADMINISTRATIVE CHECK OF THE FULL APPLICATION FORM**

The following will be assessed:

- The deadline has been respected. If the deadline has not been respected the proposal will be rejected.
- The Full Application Form satisfies all the criteria mentioned in points 1-6 of the Checklist (Part B, Section VI of the Grant Application Form). 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 be evaluated further.



Following this session, the European Commission will inform all applicants by e-mail, whether their application was submitted prior to the deadline, and whether it has been recommended for evaluation.

#### (4) STEP 4: EVALUATION OF THE FULL APPLICATION FORM

An evaluation of the quality of the proposals, including the proposed budget, and of the capacity of the applicant and the 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 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. 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 European Commission can be confident will comply with its objectives and priorities and guarantee the visibility of the EU financing. They cover such aspects as the quality of the action, its consistency with the objectives of the Call for Proposals, expected impact, sustainability and cost-effectiveness.

*Scoring:*

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

#### Evaluation Grid

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicant and partners have sufficient <b>experience of project management</b> ?	5
1.2 Do the applicant and partners have sufficient <b>technical expertise</b> ? (notably knowledge of the issues to be addressed)	5
1.3 Do the applicant and partners have sufficient <b>management capacity</b> ? (including staff, equipment and ability to handle the budget for the action)	5
1.4 Does the applicant have stable and sufficient sources of <b>finance</b> ?	5
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score proportionally transferred from CN evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
3.1 Are the <b>activities</b> proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the <b>action plan</b> clear and feasible?	5
3.3 Does the proposal contain <b>objectively verifiable indicators</b> for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the <b>partners' level of involvement and participation in the action</b> satisfactory? A score of one point only will be allocated if the proposal does not comply with the partnership composition requirements stipulated in section 1.2.1 of these guidelines.	5

<b>4. Sustainability of the action</b>	<b>15</b>
4.1 Is the action likely to have a tangible <b>impact</b> on its target groups?	5
4.2 Is the proposal likely to have <b>multiplier effects</b> ? (Including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action <b>sustainable</b> : - financially ( <i>how will the activities be financed after the funding ends?</i> ) - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?</i> ) - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> )	5
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	5x2
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
<b>Maximum total score</b>	<b>100</b>

*Note on Section 1. Financial and operational capacity*

If the total average score is less than 12 points for section 1, the proposal will be rejected.

*Provisional selection*

Following the evaluation, the proposals will be ranked according to their score and a list of provisionally selected proposals will be established on the basis of the available financial envelope and a reserve list drawn up.

## **(5) STEP 5: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS**

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

- The Declaration by the applicant (Part B, Section VII of the Grant Application Form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the proposal on that sole basis.
- The eligibility of the applicant and the partners will be verified according to the criteria set out in Sections 2.1.1 and 2.1.2.

Following the above analysis and, if necessary, any rejected proposal will be replaced by the next best placed proposal in the reserve list that falls within the available financial envelope, which will then be examined for the eligibility of its applicant and the partners.

Based on the verification of the supporting documents, the European Commission will prepare the final list of the grants to be awarded under this Call for Proposals.

## 2.4. SUBMISSION OF SUPPORTING DOCUMENTS

The supporting documents listed below are required for applicants and their partners. They must be supplied in the form of scanned versions (i.e. showing legible stamps, signatures and dates) of the originals.

All required supporting documents **for applicants** for this Call for Proposals **must be uploaded** in the PADOR<sup>24</sup> system; the deadline for uploading them in the system is the same as the deadline for submission of the Concept Note (see section 2.2.3). **Partners** must upload all their supporting documents in PADOR before the submission of the full application.

Any applicant requesting derogation from the obligation to register in PADOR **must send ALL** relevant supporting documents for this Call for Proposals in their e-mail together with the **Concept Note**. Any applicant requesting derogation from registration in PADOR for **its partner(s)** **must send ALL** relevant supporting documents for this Call for Proposals in their e-mail together with the **Full Application**

If the supporting documents are not provided within the deadline above the application may be rejected.

### **Required supporting documents for the applicant:**

1. **The statutes or articles of association of the applicant organisation<sup>25</sup>**. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.1. above (i.e. legal existence, non profit-making status, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when derogation from registration in PADOR is being requested, must be sent together with the supporting documents.
2. Where the grant requested exceeds EUR 500,000, **an external audit report** produced by an approved auditor, certifying the applicant's accounts for the last financial year available. This obligation does not apply to public bodies. It does not apply either to regional intergovernmental organisations.
3. **Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)**. This obligation does not apply to public bodies or to regional intergovernmental organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to point 2 above.
4. **Legal Entity Sheet** (see annex D of these guidelines) duly completed and signed by the applicant, accompanied by the supporting documents which are requested therein. If the applicant has already signed a contract with the European Commission, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status has occurred in the meantime.

### **Required supporting documents for partners:**

**The statutes or articles of association of the partner organisation<sup>26</sup>**. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.2. above (i.e. legal existence, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR

---

<sup>24</sup> See section 2.2.

<sup>25</sup> Where the organisation is a public (including local authorities) or parastatal body created by a law, a copy of the said law or other official document recognizing the body's public or parastatal status in accordance with the relevant national law must be provided. Where the organisation is a legally constituted consortium or association of Local Authorities, the statutes or articles of association of the said consortium or association must be provided.

<sup>26</sup> See footnote 24

in the same electronic file as the statutes or articles of association or, when derogation from registration in PADOR is being requested, must be sent together with the supporting documents.

**Requirements for all supporting documents:**

Where the required supporting documents are not uploaded in PADOR, they must be supplied in the form of scanned versions (i.e. showing legible stamps, signatures and dates) of the originals.

Where supporting documents are not in one of the official languages of the European Union, a translation into one of the languages of the Call for Proposals (see Section 2.2.1) of the relevant parts of these documents, proving the applicant's and partner's (s') eligibility, must be uploaded into PADOR in the same electronic file as the original language version (or, where derogation from PADOR registration is being requested, be sent with the supporting documents) and will prevail for the purpose of analysing the proposal.

Where these documents are in an official language of the European Union other than the languages of the Call for Proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's and partner's (s') eligibility, into one of the languages of the Call for Proposals. Where such translation is provided, it must be uploaded into PADOR in the same electronic file as the original language version (or, where derogation from PADOR registration is being requested, be sent with the supporting documents).

## 2.5. NOTIFICATION OF THE EUROPEAN COMMISSION'S DECISION

### 2.5.1 Content of the decision

Applicants will be informed in writing of the European Commission's decision concerning their application and, where applicable, the principal reason(s) for a negative decision.

Applicants who were unsuccessful at the Opening and Administrative Check stages of the procedure (Step 1 and Step 3) or at the Eligibility check stage (Step 5) wishing to obtain further information should send their request by letter, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission  
EuropeAid Co-operation Office  
Unit F4 Finance, Contracts and Audit for Thematic Budget Lines  
Attn. Head of the Calls for Proposals Sector  
Office L-41 03/136  
B-1049 Brussels  
Belgium

Applicants who were unsuccessful at the technical evaluation stages of the procedure (Step 2 or Step 4) wishing to obtain further information should send their request, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission  
EuropeAid Co-operation Office  
Unit F3 Central management of thematic budget lines under DCI and Facility for rapid response to soaring food prices in developing countries  
Attn. Head of Unit  
Office L-41 02/072  
B-1049 Brussels  
Belgium

The request for further information should be sent to the European Commission no later than 90 days from the date of receipt of the letter informing the applicants about the negative decision concerning their application.

The European Commission must reply within 90 days of receipt of the request for information.

Thereafter, applicants believing that there has been an error or irregularity during the award process may send a petition no later than 90 days from the date of receipt of the above-mentioned reply from the European Commission, to the following address:

European Commission  
EuropeAid Co-operation Office  
Directorate F – Thematic Operations  
Attn. The Director  
Office L-41 03/169  
B-1049 Brussels, Belgium

The European Commission must reply within 90 days of receipt of the said petition.

### *2.5.2 Indicative time table*

The indicative calendar will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call and will be updated in the course of the evaluation procedure.

## **2.6. CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE EUROPEAN COMMISSION'S DECISION TO AWARD A GRANT**

Following the decision to award a grant, the beneficiary will be offered a contract based on the European Commission's standard contract (see Annex F to the present guidelines). By signing the Grant Application Form (Annex A), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the Standard Contract.

### **Implementation contracts**

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

## **2.7. EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE**

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

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

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

### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE FILLED IN

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (PDF FORMAT) See document **E3e** available at [http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

#### DOCUMENTS FOR INFORMATION

ANNEX E: FINANCIAL IDENTIFICATION FORM

See document **E3f** at [http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

ANNEX F: STANDARD CONTRACT (WORD FORMAT) See documents from **E3h\_1 to E3h\_9** at [http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

**E3h\_1**- SPECIAL CONDITIONS

**E3h\_2** - ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN COMMUNITY-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS OF THE EUROPEAN UNION

**E3h\_3** - ANNEX IV: CONTRACT AWARD PROCEDURES

**E3h\_4 and E3f** – ANNEX V: REQUEST FOR PAYMENT AND FINANCIAL IDENTIFICATION FORM

**E3h\_5** - ANNEX VI: INTERIM NARRATIVE REPORT

**E3h\_6** - ANNEX VI: FINAL NARRATIVE REPORT

**E3h\_7**- ANNEX VI: FINANCIAL REPORT

**E3h\_8** - ANNEX VII: TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF A GRANT CONTRACT - EXTERNAL ACTIONS OF THE EUROPEAN UNION -

**E3h\_9**- ANNEX VIII: MODEL FINANCIAL GUARANTEE

ANNEX G: DAILY ALLOWANCE RATES (PER DIEM)

[http://ec.europa.eu/europeaid/work/procedures/implementation/per\\_diems/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm)

ANNEX H: LIST OF ELIGIBLE PARTNERS COUNTRIES OR TERRITORIES UNDER **LOT 1**

ANNEX I: PROJECT CYCLE MANAGEMENT at

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

#### IN THE CASE OF PADOR REGISTRATION DEROGATION REQUEST:

ANNEX JA: PADOR DEROGATION PACK- APPLICANT

ANNEX JB: PADOR DEROGATION PACK – PARTNER