



European Commission

Non-State Actors and Local Authorities in Development

**Cooperation, synergies and structured dialogue in the area of
development between civil society platforms, their organisations and
EU institutions**

Restricted Call for Proposals 2011 for Non State Actors

Guidelines for Grant Applicants

Budget line 21.03.01

Reference: EuropeAid/131142/C/ACT/TPS

Deadline for submission of Concept Notes:
15 September 2011 at 16:00 Brussels date and time

Notice

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, is obligatory under the present call for proposals (see section 2.2 below for details).

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. Relevance constitutes the major criterion in pre-selection. Relevance will not be evaluated again when assessing the Full Application. 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 Contracting Authority and the signed "Declaration by the Applicant" sent together with the application.

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1. PROGRAMME: “NON-STATE ACTORS AND LOCAL AUTHORITIES IN DEVELOPMENT”

1.1 BACKGROUND

The thematic programme “Non-State Actors and Local Authorities in Development” (NSA&LA) introduced in 2007 covers the following three main components:

- **Objective 1:** Support to development actions, to be implemented by Non-State-Actors (NSA) or Local Authorities (LA), in close cooperation with the local communities and the most vulnerable population groups, aiming at promoting an inclusive and empowered society in partner countries.
- **Objective 2:** Support to actions in the EU and acceding countries¹ aiming at raising public awareness of development issues and promoting education for development, to mobilise greater support for actions against poverty and fairer relations between developed and developing countries.
- **Objective 3: Support to actions aiming at achieving more efficient cooperation, foster synergies and facilitate a structured dialogue in the area of development between civil society networks and local authorities associations from the EU and acceding countries, within their organisations and with EU institutions.**

Regulation (EC) n° 1905/2006² of the European Parliament and of the Council (OJ L 378, 27 December 2006), establishing a financing instrument for development cooperation (DCI), and more specifically its article 14 constitute the legal basis for this thematic programme.

1.2 OBJECTIVE AND PRIORITIES OF THIS CALL FOR PROPOSALS

Objective

This call for proposals is launched under objective 3 of the NSA&LA thematic programme referred to above. More particularly, the general objective of this call of proposals, in line with the strategy 2011-2013³, the Annual Action Programme 2011⁴ and conclusions of the Structured Dialogue⁵, is to support actions aiming at facilitating a structured dialogue between European civil society networks active in development cooperation outside the EU and EU institutions and at strengthening those representative platforms.

Priorities

In order to reach this objective priority will be given to actions which contribute:

(1) to enhanced coordination and dialogue between European Non-State Actors' representative platforms and European institutions;

¹ Acceding countries are countries that have signed the [Treaty of Accession](#) and are expected to become full Member States on the date set out in the Treaty.

² http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/documents/dci_en.pdf.

³ http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_en.pdf

⁴ http://ec.europa.eu/europeaid/work/ap/aap/2011_en.htm

⁵ The Structured Dialogue concluding paper recommends the EU to "**promote and support regular, structured and inclusive multi-stakeholder dialogues through funding to empower CSO and LAs** (particularly their platforms and representative organizations) **to participate effectively in dialogues**". More information is available on the Civil Society Helpdesk (CISOCH): https://webgate.ec.europa.eu/fpfs/mwikis/aidco/index.php/Getting_ready_for_the_final_Conference_in_Budapest

And, where required,

(2) to strengthening Non-State Actors' representative platforms organised at European level in their capacities to gather their constituencies' views and to perform as a strategic Partner for EU institutions.

Considering the objective and the priorities of this call for proposals,

- A representative platform organised at the European level has to be understood as a network/coalition or a confederation of Non-State Actors gathered either (i) by type of actors or (ii) by sector of cooperation. A typology of actors is available in 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 cooperation⁶. Several criteria will be used to evaluate the representativeness and relevance of platforms: presence in a significant number of Member States; number of different organisations affiliated (i.e. not branches of the same organisation or organisations belonging to the same family); level of expertise in a specific sector of development cooperation outside the EU; members that demonstrate strong and permanent connections with NSAs in partner countries⁷; structure of internal governance that ensure genuine members' representation in the decision-making process.
- Enhanced coordination and dialogue should foster improved working relations between the representative platform and the European Union. In that sense, projects should include a strong component aiming at strengthening the cooperation primarily with the European Commission service dealing with civil society and local authorities in development but also with other Directorates of EuropeAid, other Directorates General or other European Institutions.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION

The overall indicative amount made available under this Call for Proposals is EUR 3.174.500, to be financed by budget line 21 03 01 "Non-State Actors in development".

Where the financial allocation indicated above cannot be used due to insufficient quality or number of proposals received, the European Commission reserves the right to reallocate the remaining funds to other components of the thematic programme.

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

⁶ "The non-State, non-profit making actors eligible for financial support under this Regulation operating on an independent and accountable basis include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations likely to contribute to the implementation of the objectives of this Regulation."

⁷ Partner country or territories under Regulation (EC) n° 1905/2006 as listed in Annex J to the present guidelines.

Size of grants

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

- minimum amount: EUR 100 000
- maximum amount: EUR 600 000

Any grant requested under this Call for Proposal must not exceed 75 % of the estimated total eligible costs.

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) 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 aforementioned Practical Guide and the Glossary can be consulted at the following address:

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

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicants 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).

2.1.1 *Eligibility of applicants: who may apply*

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

- be legal persons **and**
- be non-profit making **and**
- be a Non-State Actor (NSA)⁸ or representative platform⁹ of NSAs **and**
- be a national^{10 11} of a Member State of the European Union or of an acceding country¹² **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

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 section 2).

⁸ See footnote 6.

⁹ A representative platform with legal personality must submit an application under the name of that representative platform. If the representative platform is an informal grouping without legal personality, the application must be submitted under the name of a lead NSA with other members of the platform acting as partners or associates. In both cases, an official full list of members of the respective platforms must be submitted with or included in the supporting documents indicated in section 2.4 below. NB: organizations/networks composed principally of branches of the same organisation or belonging to the same family of organisations albeit located in different countries, will not be considered as an eligible platform.

¹⁰ 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 national 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 the statutes are registered locally or a "Memorandum of Understanding" has been concluded.

¹¹ If the applicant's legal personality has been recognised in a country eligible under this section pursuant to the Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations

(<http://conventions.coe.int/Treaty/Commun/QueVoulezVous.asp?NT=124&CM=8&DF=07/03/2011&CL=ENG>), the official evidence issued by the country concerned under the said Convention shall determine the nationality of the organisation.

¹² See footnote 1

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*

Partnerships

When the applicant is a representative platform **with legal personality**, it may act individually or with partners. Member organisations of a representative platform with legal personality which play an active role in the design and implementation of the action are considered as partners. Other non-member organisations may also be involved as partners.

In the case of a representative platform **without legal personality**, the applicant is an NSA acting as lead organisation (see footnote 9) and some members of the platform must be involved in the action as partners. Other non-member organisations may also be involved as partners.

Partners

Partners play an active role in the design and implementation of the action and benefit from funding under the grant. As such, costs they incur are eligible in the same way as those incurred by the grant Beneficiary. They must complete and sign Part B, section IV of the grant application form - "Partners of the applicant participating in the action" and they must satisfy the following eligibility criteria:

- be legal persons **and**
- be non profit making **and**
- be a Non-State Actor¹³ (NSA) or a Local Authority (LA) or a representative platform or association of NSAs and/or LAs **and**
- be nationals¹⁴, of a Member State of the European Union, of an acceding country¹⁵, or of an eligible partner country or territory under the DCI instrument as listed in Annex J.

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

- **Associates**

Other organisations, members or non members of the platform, 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.

- **Participants**

Members of the platform that are neither partner nor associate are considered as participants of the action. They may not receive funding from the grant with the exception of per diem or travel costs to participate in activities of the action. They should be mentioned in the list of members indicated in section 2.4 below.

¹³ See footnote 6

¹⁴ See footnotes 10 and 11

¹⁵ See footnote 1

- **Contractors**

The grant beneficiaries have the possibility to award contracts to contractors. Contractors 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 in section 3 of the present guidelines).

- **Sub-grantees**

The grant beneficiaries may award financial support (sub-grants) to third entities (sub-grantees). Sub-grantees are neither partners nor associates nor contractors. Sub-grantees are subject to the nationality and origin rules set out in annex IV of the standard grant contract (see section 2.1.3 for further information on sub-grants).

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

2.1.3 <i>Eligible actions: actions for which an application may be made</i>
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Definition:

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

Duration

The initial planned duration of an action may not be lower than **12 months** nor exceed **36 months**.

Location

Actions must have EU coverage. If duly justified by the nature of the action, certain activities may take place in other countries and in particular in partner countries¹⁶, provided that these activities constitute only a minor part of the Action and they contribute directly to the objectives of the present call for proposals.

Types of actions

To be eligible for co-financing, actions under this call must comply with the objective and the priorities of the Call for proposals described in point 1.2. of these Guidelines.

Actions will mainly cover networking and capacity building activities such as organisation of seminars, workshops, training sessions, support to information and communication tools and activities aiming at increasing interactions between NSA platforms and EU institutions such as launching of advocacy campaigns, regular meetings with EU institutions, participation in official European and global events, etc..

Whenever possible, mainstreaming of human rights, gender equality, children and older people rights, rights of indigenous peoples, rights of persons with disabilities, environment and climate change, as well as the fight against HIV/AIDS, will be ensured in the proposed actions. These actions should show, whenever relevant, how these issues are taken into account in the design, implementation and monitoring of the activities. Principles such as empowerment, autonomy, participation, non-discrimination of vulnerable groups and accountability will be adequately taken into account.

Visibility

The applicant must guarantee the visibility of the EU-financing (see the Communication and Visibility Manual for EU external actions laid down and published by the European Commission at http://ec.europa.eu/europeaid/work/visibility/index_en.htm). To this end, applications should include a communication and visibility plan both in the Full Application and the budget.

¹⁶ See footnote 7

Monitoring and Evaluation

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

An **independent evaluation** of the proposed action must be foreseen in the proposal.

Sub-granting

In order to **support the achievement of the objectives of the action**, and in particular where the **implementation of the action proposed by the applicant requires financial support to be given to third parties**, the applicant **may** propose awarding sub-grants. However, sub-granting may not be the main purpose of the action and it must be duly justified.

Where the applicant foresees to award sub-grants, it must specify in its application the total amount of the grant which may be used for awarding sub-grants as well as the minimum and maximum amount per sub-grant. A list with the types of activity which may be eligible for sub-grants must be included in the application, together with the criteria for the selection of the beneficiaries of these sub-grants. The maximum amount of a sub-grant is limited to **EUR 10 000** per third party while the total amount which can be awarded as sub-grants to third parties is limited to **EUR 100 000**.

The following types of action are not eligible:

- 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;
- actions supporting directly political parties;
- actions including proselytism activities;
- 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 which consist exclusively or primarily in capital expenditure, such as land, infrastructure, equipment and resources;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin.

Number of applications and grants per applicant

An applicant may not submit more than one application under this Call for Proposals. If an applicant submits more than one proposal, all the proposals submitted by that applicant may be rejected.

There is no restriction with regard to the number of applications in which an organisation may participate as partner.

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 therefore 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 the EU 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 estimated 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 estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of the standard grant contract. The applicant may be asked to justify the requested percentage before contracting. However, once the flat-rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

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

Contributions in kind

Contributions in kind are not considered as actual 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, these must be provided during implementation.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges;
- provisions for losses or potential future liabilities;

- interest owed;
- costs declared by the beneficiary and covered by an other action or work program;
- purchase of land or buildings;
- office rent, unless the applicant can demonstrate that additional and specific office rental is necessary for the purpose of the action implementation;
- 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/onlineservices/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 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. All the supporting documents required from applicants and partner(s) (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 and the EuropeAid ID number of the partner(s) must be indicated in the Full application form.

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

- the quick guide (that explains the process of registration in PADOR);
- the Frequently Asked Questions.

These 2 documents are available on the website indicated above.

Notwithstanding the above, if the organisation is in a situation where it is impossible to register in PADOR, it shall submit a justification proving that such impossibility is of a general nature and goes beyond the control of the applicant and or its partner(s). In this case, the applicant and/or the partners concerned shall complete the "PADOR off line form" (Annex E to the present Guidelines) and to send it by e-mail together with the Concept Note for the applicant or with the full application, for the partner(s). Subsequently, the registration in PADOR will be initiated by the European Commission. If, at a later stage, the organisation wishes to update itself its data, an access request will have to be sent to the PADOR helpdesk.

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

Applicants must apply in English, French, Spanish or Portuguese.

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 related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

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

Hand-written Concept Notes will not be accepted.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. No additional annexes should be sent.

2.2.2 *Where and how to send concept notes*

The Concept note, together with the Checklist for the Concept Note (Part A, section III of the Grant Application Form) and the Declaration by the applicant for the Concept Note (Part A, section IV of the Grant Application Form) **must** be submitted **by email only** to the following address:

EuropeAid-COORD@ec.europa.eu

The subject field of the e-mail must bear the reference of the Call for Proposals and the name of the applicant organisation.

The Applicant will receive an automatic acknowledgement of receipt following the submission of an application.

This mailbox can **only be used to submit the 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 **15 September 2011 at 16:00 hrs** (Brussels date and time).

Applicants are strongly advised **not to wait until the last day** to submit their Concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The EC cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any Concept note sent after the deadline **will be rejected**.

The applicant is solely responsible for following-up the delivery. In addition to the automatic acknowledgment of receipt indicated in section 2.2.2 above, the European Commission will send a confirmation of reception on the date announced in the indicative calendar (see section 2.5.2) to the contact email address indicated in the application form. If the applicant does not receive this confirmation on the said

date, it must immediately contact the European Commission at the email address indicated in section 2.2.4 below. The European Commission cannot be held responsible for the non-delivery of any proposal.

2.2.4 Further information for the Concept Note

Questions (except those relating 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**:

E-mail address: EuropeAid-GlobalCalls@ec.europa.eu

The European Commission has no obligation to provide further clarifications after this date.

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

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

Questions that may be relevant to other applicants, together with the answers, as well as other important notices to applicants, may be published on the internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as the need arises. 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

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 must be provided using round figures and be presented only in the Budget (Annex B).

Applicants should note that there are **three worksheets in Annex B** that must be completed:

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

Worksheet 2 – "Justification of the budget for the Action" (worksheet 2 must provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the action and a justification of the calculation of the estimated costs).

Worksheet 3 – "Expected sources of funding" (worksheet 3 must indicate the amount and percentage of financing per source, i.e. requested EU contribution, applicant's and, where applicable, partners' 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 be rejected.

Each component of the application (Full Application Form, Budget and Logical Framework) must be submitted in a single, 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 *Where and how to send the Full Application form*

The complete application form, budget and logical framework **must** be submitted **by email only** to the following address:

EuropeAid-COORD@ec.europa.eu

The Checklist (Section VI of Part B of the grant application form) and the Declaration by the applicant (Section VII of Part B of the grant application form) must be sent in the same e-mail.

The subject field of the e-mail must bear the reference of the Call for Proposals, 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 an application.

This mailbox can **only** be used to submit the grant application form (see section 2.2.8 for the e-mail address to be used for sending questions).

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

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 applications will be indicated in the letter sent to the applicants whose application has been preselected.

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 EC cannot be held responsible for delay due to such afore-mentioned 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 below address, **indicating clearly the reference of the Call for Proposals:**

E-mail address: EuropeAid-GlobalCalls@ec.europa.eu

The European Commission has no obligation to provide further clarifications after this date.

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

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.

Questions that may be relevant to other applicants, together with the answers, as well as other important notices to applicants, may be published on the internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as the need arises. 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

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the European Commission with the possible assistance of external assessors 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 the sections 2.1.1, 2.1.2 and 2.1.3 of the present guidelines, the application **may be rejected on this sole basis**.

(1) STEP 1: OPENING SESSION & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be **rejected**.
- The Concept Note satisfies all the criteria mentioned in points 1 to 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 application may be rejected on that **sole** basis and the application will not be evaluated further.

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the action.

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

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

	Scores	
	Sub-score	30
1. Relevance		
1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals, in particular concerning interactions with EU Institutions?	5x2	
1.2 Is the platform representative (internal governance mechanisms, organised at the European level, number of members)?	5x2	
1.3 How clearly defined and strategically chosen are the stakeholders ?	5	
1.4 Have the stakeholders needs been clearly defined and does the proposal address them appropriately?	5	
2. Design of the action	Sub-score	20
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?	5x2	

2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2	
TOTAL SCORE		50

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

Firstly, only the Concept Notes which have been awarded a **minimum total score of 30 points will be considered for pre-selection.**

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to at least twice the available budget for this Call for Proposals.

Following the Concept Note evaluation, the European Commission will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether the Concept Note was evaluated and the results of that evaluation. The preselected applicants will subsequently be invited to submit full applications.

NB.: 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.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will **automatically be rejected.**
- The full application form satisfies all the criteria specified 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 application may be rejected on that **sole** basis and the application will not be evaluated further.

An evaluation of the quality of the proposals, including the proposed budget, and of the capacity of the applicant and the partners, will be subsequently 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
1. Financial and operational capacity	20
1.1 Do the applicant and partners (if any) have sufficient experience of project management ?	5
1.2 Do the applicant and partners have sufficient technical expertise ? (notably knowledge of the issues to be addressed).	5
1.3 Do the applicant and partners have sufficient management capacity ? (including staff, equipment and ability to handle the budget for the action)	5
1.4 Does the applicant have stable and sufficient sources of finance ?	5
2. Relevance	30
<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the stakeholders' (especially members of the platform) level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on members of the platform?	5
4.2 Is the proposal likely to have multiplier effects ? (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 sustainable ? - 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 "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 better codes of conduct, methods, synergies etc?</i>)	5
5. Budget and cost-effectiveness of the action	15
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
Maximum total score	100

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

(3) STEP 3: 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 applications that have been provisionally selected according to their score and within the available financial envelope.

This verification will be carried out as follows:

- 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, 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 application will be replaced by the next best placed application 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.

2.4 SUBMISSION OF SUPPORTING DOCUMENTS

The supporting documents listed below are required in order to allow the European Commission to verify the eligibility of the applicants and their partners.

All required supporting documents **for applicants** for this Call for Proposals **must be uploaded** in the PADOR¹⁷ 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 submitting a "PADOR off line form" **must send ALL** relevant supporting documents for this Call for Proposals in their e-mail **together** with the **Concept Note**. Any applicant submitting a "PADOR off line form" 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 deadlines above the application may be rejected.

Required supporting documents for the APPLICANT:

1. **The statutes or articles of association of the applicant organisation.** 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, nationality¹⁸, etc.). **They must include or be accompanied by an official full listing of the platform's members.** They must bear the stamp of the appropriate national authority (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 a PADOR offline form is submitted, 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.
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 when the accounts are in practice the same documents as the external audit report already provided pursuant to point 2.
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. 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, non profit-making status, category of organisation and objectives, nationality¹⁹, etc.). They must

¹⁷ See section 2.2.

¹⁸ Where Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations is applied please refer to footnote n° 11.

¹⁹ Where Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations is applied please refer to footnote n° 11.

bear the stamp of the appropriate national authority (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 PADOR offline form is submitted must be sent together with the supporting documents.

This obligation does not apply to public bodies.

Requirements for all supporting documents:

Where such 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, when a "PADOR offline form" is submitted, be sent with the supporting documents). The translation 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, when a "PADOR offline form" is submitted, 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, in case of rejection, the reasons for the negative decision.

Applicants who were unsuccessful at the Opening and Administrative Checks stage of the procedure (Step 1) or at the Eligibility check stage (Step 3) 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 – Development and Co-operation Directorate General
Unit D6 - Finance, Contracts and Audit
Attn. Head of the Calls for Proposals Sector
Office SC-15 05/093
B-1049 Brussels
Belgium

Applicants who were unsuccessful at the technical evaluation stages of the procedure (Step 1 or Step 2) 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 – Development and Co-operation Directorate General
Unit D2 –Civil society, Local Authorities
Attn. Head of Unit
Office SC-15 06/041
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 further 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 – Development and Co-operation Directorate General
Directorate D – Human and society development
Attn. The Director
Office SC-15 04/002
B-1049 Brussels, Belgium

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

2.5.2 Indicative time table

Preliminary information on the main milestones in the procedure for this call for proposals is available in the table "Ongoing Global Calls for Proposals" under Thematic Programmes on the following EuropeAid webpage: http://ec.europa.eu/europeaid/work/funding/index_en.htm

After the Concept Note submission deadline, a detailed indicative calendar will be published on the same EuropeAid webpage as the other documents relating to this call for proposals: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and will be updated in the course of the evaluation procedure, as necessary.

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 grant contract (see Annex F of these 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 grant 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 interest. To this end, the beneficiary must follow the procedures set out in Annex IV to the standard grant contract.

2.7 EARLY WARNING SYSTEM (EWS) AND CENTRAL EXCLUSION DATABASE (CED)

Grant 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:

- Commission decision (2008/969/EC, Euratom) of 16 December 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);
- Commission Regulation (2008/1302/EC, Euratom) of 17 December 2008 on the Central Exclusion Database – CED (OJ L 344, 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 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 procurement contract or 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 - See document **E3e** at:

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

Annex E: PADOR OFF LINE FORM (ONLY IF IMPOSSIBLE TO REGISTER IN PADOR)

http://ec.europa.eu/europeaid/work/onlineservices/pador/dispensation_en.htm

DOCUMENTS FOR INFORMATION

Annex F: Standard Grant Contract (Word format)- See documents from **E3h_1 to E3h_9** at

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 Union-financed grant contracts for external actions

E3h_3 - Annex IV: Contract award procedures

E3h_4 - Annex V: Request for payment

E3h_5 - Annex VI: Interim narrative report

E3h_6 - Annex VI: Final narrative report

E3h_7 - Annex VI: Financial report

E3h_8 - Annex VII: Expenditure verification

E3h_9 - Annex VIII: Financial guarantee (where applicable)

Annex G: Daily allowance rates (Per diem)

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

Annex H: Financial identification form - See document **E3f** at

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

ANNEX I: PROJECT CYCLE MANAGEMENT GUIDELINES ARE AVAILABLE AT

http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm

ANNEX J: LIST OF ELIGIBLE PARTNER COUNTRIES AND TERRITORIES