



European Commission

Non-State Actors and Local Authorities in Development

Restricted Call for Proposals 2011 Local Authorities

Guidelines for Grant Applicants

BUDGET LINE 21.03.02

REFERENCE: EuropeAid/131143/C/ACT/Multi

Deadline for submission of the Concept Notes

01 February 2012, at 16h00 (Brussels 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). 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 proposal.

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 European Commission and the signed Declaration by the Applicant.

SUSPENSIVE CLAUSE

The conclusion of some of the grant contracts for actions to be selected under this Call for Proposals is subject to the adoption of the relevant financing decision, i.e. the adoption of the 2012 Annual Action Programme. For more information, please see section 1.3 of the Guidelines.

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1. NON-STATE ACTORS AND LOCAL AUTHORITIES IN DEVELOPMENT

1.1 BACKGROUND

The Thematic Programme "Non-State Actors and Local Authorities in Development" (hereafter NSA/LA Programme) is an "actor oriented" programme, which co-finances initiatives proposed and carried out by Civil Society Organisations (CSO) and Local Authorities (LA) from the European Union and its partner countries in the area of development.¹

The NSA/LA Programme foresees three specific objectives:

Objective 1 support actions proposed and implemented by CSO or LA, with a view to strengthening their institutional and operational capacities and participation in development policies and programmes.

Objective 1 presents two components:

Objective 1 A – support to CSO and LA projects implemented in one partner country (in-country actions);

Objective 1 B – support to CSO and LA projects implemented in two or more partner countries (multi-country actions).

Objective 2 focuses on Development Education and Raising Awareness in the EU and acceding countries.

Objective 3 concerns capacity-building and institutional coordination between European associations of CSO and LA and the European institutions, with a view to stepping-up multi-stakeholder dialogue.

Under the NSA/LA Programme, the European Commission is launching this Call for Proposals to support actions, proposed and implemented by **Local Authorities** and **Associations of Local Authorities** from the EU Member States and partner countries, addressing development issues in close cooperation with local communities and the most vulnerable population groups.

As stated in its Communication "Local Authorities: Actors for Development"², the European Commission recognises the significant role of Local Authorities in the development process, not only in their capacity of service providers but also as catalysts for change, conflict prevention, decentralisation and confidence-building.

In the light of the recommendations of the above mentioned Communication, the EC organised a special **Supporting Initiative for Local Authorities** within the **Structured Dialogue between the EC, CSO and LA** from the EU Member States and partner countries.³ The Supporting Initiative for Local Authorities addressed subjects that are specific and relevant to LA in the context of development, in order to take into account their experiences and characteristics in the future programming and implementation of the EU external aid as well as in the present Call for Proposals.⁴

1.2 OBJECTIVES AND PRIORITIES OF THE CALL FOR PROPOSALS

The **global objective** of this Call for Proposals is to support multi-country actions proposed and implemented by Local Authorities (LA) and Associations of Local Authorities (ALA) from the EU Member States and partner countries, in order (i) to empower LA and ALA in public policy making in line with international development commitments (i.e. Millennium Development Goals); (ii) to promote and support regular structured and inclusive dialogue with their communities and in multi-stakeholder forums.

The **specific objectives** of this Call for Proposals correspond to **Objective 1 B** and **Objective 2** of the NSA/LA Programme, laid down in two different Lots as follows.

¹ 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), and in particular Article 14 thereof, constitute the legal basis for this thematic programme. The official documents related to the NSA/LA Programme are available at: http://ec.europa.eu/europeaid/what/civil-society/index_en.htm.

² Reference COM(2008) 626 final, 8.10.2008, available at <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2008:0626:FIN:EN:PDF>.

³ The Structured Dialogue has been a strategic process aimed at defining and agreeing on the roles of LA and CSO, improving the effectiveness of their involvement in aid activities and exploring ways to adapt EC's aid modalities, in order to increase the impact of its development programmes. It took place from March 2010 to May 2011.

⁴ For more information on the results and the recommendations, please visit the website Civil Society Helpdesk (CISOCH): https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/Structured_dialogue.

Lot 1 – Support to LA and ALA projects implemented in two or more partner countries (corresponds to Objective 1 B of the Programme)

Proposed actions should focus on the **enhancement of capacities of Local Authorities** in partner countries, with a view to contributing to the quality of public policies at local level and the reinforcement of local governance. To this end, actions could also support decentralisation in those countries where related legal framework and processes are already in place. Initiatives should be built on strategic partnerships and peer-to-peer exchange in sectors where local authorities have institutional and political competencies and responsibilities. LA from partner countries⁵ are encouraged to lead the actions, in order to implement an effective local strategy.

The two priorities covered by Lot 1 will be:

(i) **Institutional Capacity Building:** reinforcement of the **internal structure** and **operating modalities** of existing membership-based **Associations of Local Authorities** (i.e. Unions, Platforms, Networks) with representativeness at regional, continental or international level⁶.

Those involved in initiatives should strengthen their representativeness and the capacities in practical ways, to play a legitimate and effective institutional role. Actions should result in enabling environment for LA and in a more effective representation of the needs of local communities in multi-stakeholder dialogues;

(ii) **Decentralised Cooperation:** promotion of **decentralised cooperation** within the LA areas of responsibility, competence and expertise. Actors should mobilise their knowledge and expertise to improve their capacity in partner countries. Actions should result in enhanced quality of public policies management and service delivery according to the LA institutional mandate and effective local governance.

Lot 2 – Development Education and Raising Awareness on Development issues in Europe (corresponds to Objective 2 of the Programme)

Proposed actions should focus on **Development Education** and **Raising Awareness**⁷ (DEAR) in the EU and acceding countries⁸, in order to enhance the support of European Local Authorities and European Associations of Local Authorities (ALA) to international development commitments (i.e. Millennium Development Goals), as well as to engage European LA and ALA in fostering changes in public policies connected to development issues, where LA have institutional responsibility and competencies.⁹

The two priorities covered by Lot 2 will be:

(i) **Global Learning:** improvement of the knowledge and competences of groups of learners in engaging with development concerns, through the use of participatory and experiential educational methodologies, either **within** or **outside** the formal education system (formal and informal education);

(ii) **Campaigning/Advocacy:** support to the informed citizen engagement and advocacy for more just and sustainable policies, political/economic structures and individual practices, in relation to development cooperation.

⁵ Be nationals of an eligible partner country as listed in Annex K of these Guidelines.

⁶ At local level, similar support may be provided through the Calls for Proposals, launched by the respective EU Delegations.

⁷ *The contribution of Development Education and Awareness Raising (2007)* defines Development Education and Awareness Raising (DEAR) as follows: (i) DEAR contributes to the eradication of poverty and to the promotion of sustainable development through public awareness raising and education approaches and activities that are based on values of human rights, social responsibility, gender equality; on ideas and understandings of the disparities in human living conditions and of efforts to overcome such disparities; and on participation in democratic actions that influence social, economic, political or environmental situations that affect poverty and sustainable development; (ii) The aim of DEAR is to enable every person in Europe to have life-long access to opportunities to be aware of and to understand global development concerns and the local and personal relevance of those concerns, and to enact their rights and responsibilities by affecting change for a just and sustainable world.

⁸ 'Acceding countries' are those candidate countries which have completed accession negotiations and signed an Accession Treaty with the EU, but not yet ratified the Treaty. Croatia could be the only acceding country able to participate in this Call for Proposals, if it signs the Accession Treaty before the deadline for the submission of Concept Notes.

⁹ The "Study on the Experience and Actions of the Main European Actors Active in the Field of Development Education and Awareness Raising" (DEAR Study process) - launched by the European Commission and undertaken by a team of Development Education experts in 2010 - is part of the Structured Dialogue process and has provided the basis for a stronger EU involvement in the field of Development Education and Awareness Raising, as well as options for new orientations in the NSA/LA programme. For more information, please visit https://webgate.ec.europa.eu/fpfis/mwikis/aidco/index.php/DEAR:_Development_education_and_awareness_raising:_concept.

1.3 Financial allocation provided by the European Commission

The total indicative amount available for **Lot 1** of this Call for Proposals is equal to **6 470 677 EUR**, which consists of the amount available under Budget Year 2011 equal to **3 797 500 EUR** and of the indicative envelope to be allocated under Budget Year 2012 equal to **2 673 177EUR**.¹⁰

The total indicative amount available for **Lot 2** of this Call for Proposals is equal to **9.769.843 EUR**, which consists of the amount available under Budget Year 2011 equal to **5.212.000 EUR** and the indicative envelope to be allocated under Budget Year 2012 equal to **4 557 843 EUR**.

The granting of the above amounts is subject to the decision of the Budgetary Authority and the approval of the 2012 Annual Action Plan for the Thematic Programme on “Non-State actors and Local Authorities in Development”. The European Commission reserves the right not to award all available funds.

Size of grants

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

Lot 1 – Support to Local Authorities and Associations of Local Authorities in partner countries

- **minimum amount: 500 000 EUR**
- **maximum amount: 1 500 000 EUR**

A grant **may not exceed 100% of the total estimated eligible costs** of the action (see also Section 2.1.4). **Additionally**, any grant requested under this Call for Proposal **must further be limited to a maximum percentage of the estimated total accepted costs** as follows¹¹ :

- For proposals submitted by **Local Authorities (LA) from a partner country** or **Associations of Local Authorities (ALA) registered in a partner country**, any grant requested must further be limited to **90%** of the estimated total accepted costs of the action (see also section 2.1.4).
- For proposals submitted by **European LA** or **European ALA**, any grant requested must further be limited to **75%** of the estimated total accepted costs of the action (see also section 2.1.4).

If there are no taxes or when they may be reclaimed, the applicable maximum percentage for the estimated total accepted costs will apply to the total estimated eligible costs to ensure the required co-financing.

The balance (i.e. the difference between the total cost of the action and the amount of the requested EU contribution) 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.

The grant may exceptionally cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the applicant must justify any such request in Part B, Section II.2 of the Grant Application Form and the validity of the justification provided will be examined during the evaluation procedure. In the case full financing is granted, the second percentage laid down above (relating to the estimated total accepted costs) will not apply.

¹⁰ The main bulk of the NSA/LA Programme is assigned to in-country actions, which will co-finance projects presented and implemented by Local Authorities in around 40 partner countries of the EU, for an indicative amount **63.828.500 EUR** covering Budget Years 2011 and 2012.

¹¹ Estimated total accepted costs = estimated total eligible costs + taxes, including VAT, where the beneficiary can show it cannot reclaim them (unless one of the exceptions to the proof obligations indicated in Annex I applies).

Lot 2 – Development Education and Public Awareness on Development issues in Europe

- **minimum amount: 100 000 EUR**
- **maximum amount: 1 000 000 EUR**

A grant **may not exceed 100% of the total estimated eligible costs** of the action (see also Section 2.1.4). **Additionally**, any grant requested under this Call for Proposal **must further be limited to a maximum percentage of the estimated total accepted costs** as follows¹² :

Any grant requested may not normally exceed **75 %** of the estimated total accepted costs of the action (see also section 2.1.4). A grant may rise to **90%** of the estimated total accepted costs of the action for actions proposed and implemented by **LA or ALA from the 12 new EU Member States**.

If there are no taxes or when they may be reclaimed, the applicable maximum percentage for the estimated total accepted costs will apply to the total estimated eligible costs to ensure the required co-financing.

The balance (i.e. the difference between the total cost of the action and the amount of the requested EU contribution) must be financed from the applicant's or partners' own resources, or from sources other than the EU budget or the European Development Fund.

20% of the financial allocations of the funds available under Lot 2 will be allocated in preference to actions proposed and implemented by **LA or ALA** from the Member States which joined the EU in 2004 and 2007 (EU 12) proposed by organisations originating from those countries. If the quality or number of proposals received from applicants from EU 12 Member States is insufficient, the European Commission reserves the right to reallocate the remaining funds to other proposals.

Under Lot 2, the European Commission may consider project proposals with a **budget exceeding 1 000 000 EUR for a maximum amount of 5 000 000 EUR**. In this case, the potential applicant has to:

- (i) demonstrate the specific relevance and the consolidated **European dimension** of the proposed action in the area of DEAR, which includes the creation of a common knowledge in matter of development issues; shared practices and experiences in the field of education; as well as an explicit interconnection and participation among target groups in the different countries of implementation;
- (ii) detail the positive impact of the project on public policies within the mandate of Local Authorities, **in at least 7 EU Member States;**
- (iii) elaborate on the reasons why the increased budget is deemed essential to carry out the action.

Where the financial allocation indicated above for the two lots cannot be used due to the insufficient quality or number of proposals received, the European Commission reserves the right to reallocate the remaining funds to other components of the NSA/LA Programme.

¹² see previous footnote

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, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm).

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.

In addition to the Glossary, the following definitions apply:

Applicant	the organisation responsible for submitting the application
Partnership	the grouping of organisations i.e. the main applicant and its partners for the purpose of implementing the proposed action
Partner	member organisation of the partnership other than the applicant
Associate	organisation that plays an active role in the action but which cannot benefit from funding under the grant
Contractor	organisation contracted by the beneficiary or its partner(s) in accordance with the appropriate procedures in order to execute specific tasks in implementing the action
Sub-granting	financial support that may be given to third parties by the beneficiary of the European Union grant where the implementation of the action so requires, subject to the conditions laid down in the Article 120 of the Financial Regulation and the Article 184a of the Implementing Rules of the Financial Regulation. ¹³

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicant(s) 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?

Under **Lot 1**, in order to be eligible for a grant, applicants **must**:

- be a legal person **and**
- be Local Authorities or Associations of Local Authorities from a Member State of the European Union or from one of the partner countries in which the action will take place, constituted in accordance with the legislation in force in the country **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

For the list of partner countries eligible under Lot 1 of the Call for Proposals, please refer to Annex K to these Guidelines.

Under **Lot 2**, in order to be eligible for a grant, applicants **must**:

- be a legal person **and**

¹³ http://ec.europa.eu/budget/documents/financial_regulation_en.htm

- be Local Authorities or Associations of Local Authorities from a Member State of the European Union or from acceding countries, constituted in accordance with the legislation in force in the country **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

Please note that under the two lots of the Call for Proposals:

(i) the term "**Local Authority**" (LA) encompasses many different actors at different levels, including authorities at local level such as municipalities, intermediary level organisations such as districts, counties, and regional bodies.

(ii) "**Associations of Local Authorities**" (ALA) are to be understood as existing associations based on membership and representative at regional, continental and international level, with a permanent body established as an autonomous entity in accordance with the legislation in force in the country of registration. ALA must comply with all the eligibility criteria, and must be able to assume full contractual responsibility, on the basis of a mandate given by members.

Under the two lots, 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 EC external actions:

http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/documents/2010_prag_en.pdf.

In the "Declaration by the applicant" (Part A, Section III of the grant application form) applicants must declare that they do not fall into any of those situations.

2.1.2 Partnerships and eligibility of partners

Partnerships

Proposed projects must be implemented in more than one country. Hence, potential applicants have to establish instrumental partnerships¹⁴ with actors from the countries where the projects will be implemented. Attention must be paid to the quality and the role of the partnership. Partners should participate in the design and implementation of the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. Finally, the role of partners must be organised effectively in order to carry out the activities and work towards the fulfilment of the objectives of the proposed action.

Lot 1 - Support to Local Authorities and Associations of Local Authorities in partner countries

For actions presented by European LA or ALA, partnership with at least one LA or one ALA from each of the partner countries where the proposed action will take place **is obligatory**.

Furthermore, in this case it must be clearly demonstrated that the project responds to demands from partners in these third countries.¹⁵

Actions presented by an LA or ALA applicant from a partner country (non EU LA) **must be carried out** in close cooperation with at least one LA or ALA from each of the other countries where the proposed action will take place.

Lot 2 - Development Education and Raising Awareness on Development issues in Europe

Specific partnership requirements are laid down for actions proposed by European LA or ALA under Lot 2, focused on the following:

(i) Global Learning within the formal education system

¹⁴ This arrangement brings together several actors, which have a shared interest in the outcome and demonstrate some degree of ownership, in order to address a particular issue. This does not imply necessarily a legal or contractual agreement but rather an identifiable form of governance.

¹⁵ During the evaluation of proposals, potential applicants may be asked to provide the EC with related official documents to demonstrate the degree of involvement or the interest of the partner countries in the proposal as well as the stability of the partnership between the applicant and the partner, i.e. declaration of interest from the involved institution in partner countries.

Actions should be implemented in a minimum of **two countries** in European Union or acceding countries. Therefore, LA or ALA from the countries where the action will take place must be partners in the project.

(ii) Global Learning outside the formal education system and Campaigning/Advocacy

Actions should be implemented in a minimum of **three countries** in European Union or acceding countries. Therefore, LA or ALA from the countries where the action will take place must be partners in the project.

Within Lot 2, partnerships between actors operating in **EU 12**¹⁶ (new Member States) and **EU 15** (old Member States) **countries will be prioritized.**

Eligibility of Partners

(i) **LA or ALA must satisfy the same eligibility criteria as applicants**, according to the differences established under each lot of the Call for Proposals.

(ii) **Non State-Actors**¹⁷ may also be partners. They must:

- be legal persons¹⁸, **and**
- be non-profit making, **and**
- be nationals¹⁹ of a Member State of the EU, or of one of the partner countries, or
- be a national of an acceding country (valid only for Lot 2).

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 an actual role in the action but may not receive funding from the grant except for per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1.

In duly justified cases and if necessary in the interest of the action, Ministries (i.e. Ministry of Health, Ministry of Education or Higher Education, Ministry of Local Administration) may be associates of the action, as may be regional or local branches of Ministries (i.e. regional or local directorates or services).

The associates have to be mentioned in Part B section 5 - “Associates of the Applicant participating in the Action” of the Grant Application Form.

- Contractors

The grant beneficiaries may award contracts. Contractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

- Sub-grantees

¹⁶ Bulgaria, Cyprus, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Malta, Poland, Romania, Slovakia, Slovenia.

¹⁷ Non-State Actors are defined by the article 24.2 of the Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation: 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.

¹⁸ Exceptionally and when duly justified, entities based in the partner country concerned which do not have legal personality under the applicable national law may be considered eligible to participate in the action as partner organisations, provided that the representatives of these entities have the capacity to undertake legal obligations on their behalf and assume financial liability.

¹⁹ For NSAs nationality is determined on the basis of the organisation's statutes, which should show that the organisation has been established by an instrument governed by the domestic law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible organisation, even if it is registered locally or possesses a “Memorandum of Understanding”.

The grant beneficiaries may award financial support (sub-grants) to third entities (the 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 to the standard grant contract.

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 made

Definition

An action (or project) is composed of a set of activities following specific objectives to reach concrete and sustainable results. Under this Call, actions will be proposed and implemented by LA or ALA on the basis of their right of initiative. Each project can **be submitted under one of the two** lots of the Call for Proposals **only**.

Duration

Lot 1: The initial planned duration of an action may not be less than **24** nor exceed **60 months**.

Lot 2: The initial planned duration of an action may not be less than **12** nor exceed **36 months**.

Location

Lot 1 - Support to Local Authorities and Local Authorities Associations in partner countries

Actions must be multi-country or regional in scope and take place in at least **two partner countries**.²⁰

If duly justified, specific project activities (i.e. international exchanges, networking, coordination) may take place in other countries, in particular Member States of the EU, on the condition that they constitute a minor part of the action and directly contribute to this Lot.

Lot 2 - Development Education and Raising Awareness on Development issues in Europe

As specified in the Section 2.1.2 "Partnership and eligibility of partners", actions must take place in at least two or three countries, according to the focus given to the proposed action (Global Learning; Campaign/Advocacy).

If duly justified, specific project activities (e.g. transfer of good practice, international exchange, networking) may take place in partner countries outside the EU, on the condition that they constitute a minor part of the action and directly contribute to this Lot.

Types of action

Examples of action which LA or ALA may undertake within the objectives of this Call for Proposals (the list is not exhaustive):

Lot 1 - Support to Local Authorities in partner countries

- Actions in sectors that fall **within the responsibilities, competence and expertise of LA**, to improve good governance and reinforce institutional capacity;
- Actions to **strengthen citizens' participation** through interaction between LA and the local population/grassroots organisations in the elaboration and implementation of participatory local development;
- Actions to **build the capacity of Local Authorities and Associations of Local Authorities** at regional, continental and international and, indirectly, national level;
- Support for **exchange of experiences between LA** and/or **ALA** in order to strengthen partnerships, associations and networks of LA, particularly crossborder exchanges in partner countries in the scope of actions in the areas referred to.

Lot 2 - Development Education and Raising Awareness of Development issues in Europe

- Exchange among LA and LA Association on specific **educational methodologies** to raise development awareness within their communities;

²⁰ For the partner countries eligible under Objective 1 B of this call for proposals, please refer to Annex K to the Guidelines for grant applicants. For the list of least-developed countries (LDCs) please consult the OECD website at the following address: www.oecd.org/dac/stats/dacelist.

- Introducing specific **study curricula** within schools, if Local Authorities have institutional competencies in the education sector;
- Organisation of a **campaign** to build-up a local strategy tackling MDGs and bringing together different actors, such as LA, CSO, individual citizens, private companies;
- Promotion of concrete **changes in behaviours** at individual and collective levels, within political institutions and private sector, in relation to development.

Please note that for actions covering a global learning formal education activity, LA have to provide evidence that **the proposed action is approved and supported by the competent educational authorities** at the moment of the signature of the grant contract, **if the LA do not have institutional mandate in the sector of education.**

Types of activity

Potential applicants are invited to present all the activities they consider necessary in order to achieve the objectives of this Call for Proposals in relation to existing local demands, and to obtain tangible results in the context where the selected projects will be implemented.

In preparing the plan of activities and related budget, **it is obligatory to provide for the participation of one project staff** in the Seminar which DG DEVCO will organise in Brussels after selection and signature of the grant contracts, at least once a year for the whole duration of the project. **Participation in the Seminar** for the purposes of training, exchange of good practices and networking among Local Authorities **is compulsory** for the actions presented under **Lot 1** and **Lot 2** of this Call for Proposals. This activity must be clearly spelt out in the description and the budget of the action (travel, accommodation, per diem for a maximum of three days).

A list of **non eligible activities** is set out below.

Visibility of EU funding

Applications should include a communication and visibility plan, both in the Full Application and the budget, in line with the EC Communication and Visibility Manual for External Actions:

http://ec.europa.eu/europeaid/work/visibility/index_en.htm

Monitoring and Evaluation²¹

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

Where the grant requested **exceeds EUR 500.000**, an **independent evaluation** of the proposed action has to be foreseen in the proposal and the related budget.

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.

In case where the applicant intends to award sub-grants, it has to 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**:

²¹ http://ec.europa.eu/europeaid/how/ensure-aid-effectiveness/monitoring-results_en.htm

- 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 concerned only with 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 project. 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 individual political parties;
- actions including proselytism.

Number of applications and grants per applicant

An applicant may submit more than one application per Lot under this Call for Proposals and/or be at the same time a partner in one or more other application(s).

Partners may take part in more than one application.

But, in any case an applicant will **not be awarded more than one grant** per Lot under this Call for Proposals.

<h4><i>2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant</i></h4>

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". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding 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 Contracting Authority 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 interest of the applicants to present 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 G of the Guidelines).

Contingency reserve

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

Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the 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, 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 its partners. Notwithstanding the above, if the

description of the action as proposed by the Beneficiary makes provisions for contributions in kind, such contributions have to be provided.

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 another action or work programme;
- 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;
- credit to third parties.
- taxes, including VAT, incurred in beneficiary countries. Nevertheless, these may be considered as part of the estimated total accepted costs of the action for the purpose of co-financing where the Beneficiary (or the Beneficiary's partners) can prove it cannot reclaim them. In such cases, the cost should be included in the Budget under the heading "taxes". Please note however that for the purpose of co-financing, taxes are the only ineligible costs that will be considered within the total accepted costs of the action. While taxes incurred in EU Member States can be considered eligible, they shall also be included in the Budget under the heading "taxes". Information on taxes can be found in Annex I to these Guidelines.

2.2 HOW TO APPLY AND PROCEDURES TO BE FOLLOWED

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, 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 regularly update 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. These data concern the organisation itself, and are 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. 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 (which explains, on one page, the process of registration in PADOR);
- 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 is 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 offline form" (Annex E to the present Guidelines) and 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 itself wishes to update 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:**
europaaid-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/europaaid/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, German or Portuguese**, whichever is the one most commonly used in the country(ies) by the target population 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 those 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 may only be requested when the information provided is unclear, and thereby prevent 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**.

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-LA@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 a Concept Note. Please note that if several Concept Notes are sent from the same e-mail address on the same day, only one acknowledgement of receipt will be generated.

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

Concept Notes 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 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 submitting the Concept Note is **1 February 2012, at 16h00** (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 power 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 receipt on the date announced in the indicative calendar (see section 2.5.2) to the contact email 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 following email address: EuropeAid-GlobalCalls@ec.europa.eu. The European Commission cannot be held responsible for the non-delivery of any proposal.

2.2.4 *Further information for Concept Note*

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 (EuropeAid/131141/C/ACT/Multi)**:

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.

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.

Questions that may be relevant to other applicants, together with the answers and other important notices to applicants during the course of the evaluation procedure, 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. It is therefore highly recommended to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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 should 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 have to be completed:

Worksheet 1 – "Budget for the action" (worksheet 1 must include **all eligible and accepted 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 also 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 contribution and 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 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 in 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 the information provided is unclear, and thereby prevent 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**.

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 Full Application Form together with the Budget and the Logical framework **must** be submitted **by e-mail only** to the following address:

EuropeAid-LA@ec.europa.eu

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 the 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 Application forms are sent from the same e-mail address on the same day, only one acknowledgement 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 sent 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 EC cannot be held responsible for delay due to difficulties of this kind.

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: EuropeAid/131143/C/ACT/Multi**

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 the Full Application Forms.

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.

Questions that may be relevant to other applicants, together with the answers, may be published on the internet at website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>. It is therefore highly recommended to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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 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.

For Lot 1, geographical balance distribution among the different proposals will be aimed at during the evaluation phase, as far as the quality is ensured, in line with the Strategy 2011-2013²² of the NSA/LA Programme.

(1) STEP 1: OPENING & 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 specified 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 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 Note.

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.

Scores

1. Relevance of the action	Sub-score	30
1.1 How relevant is the proposal to the specific objectives of the Call for Proposals and the thematic priorities of the Lot applied to? <i>Note: Under Lot 2, for proposals requesting grant amounts exceeding 1.000.000 EUR, a score of five points will only be allocated if proposals satisfy the three relevant conditions described in section 1.3 .</i>	5x2*	
1.2 How properly have institutional structures, capacity and good governance issues been assessed, particularly for the institution(s) that will be primarily responsible for the project implementation?	5x2*	
1.3 How clearly defined and strategically chosen are those involved (partners, final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately? <i>Note: Under Lot 2, a score of five points will only be allocated if proposals involve</i>	5	

²² http://ec.europa.eu/europeaid/how/finance/dci/documents/nsa-la_strategy_2011-2013_-_en.pdf

<i>partners from the EU 12 and EU 15 countries.</i>		
1.4 Has the relevant sector policy been clearly and fully described, including key ongoing initiatives, sector targets and resource commitments, demonstrating that the project is consistent with and supportive of ongoing initiatives, in particular those financed by the European Union under other programmes (if not applicable, initiatives financed by other international donors)?	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, taking into account external factors and relevant stakeholders?	5x2*	
2.2 Is the action feasible and consistent with the objectives and expected results?	5x2*	
TOTAL SCORE		50

*Note: the scores are multiplied by two because of their importance.

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

First, only the Concept Notes which have been given a score of a minimum of 30 points will be considered for pre-selection.

For applications requesting over 1 million EUR and with a maximum of 5 million EUR, only Concept Notes which have been given a minimum score of **24 points in Relevance** 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, taking into account the indicative financial envelope(s) foreseen under section 1.3.

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.

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: OPENING & ADMINISTRATIVE CHECKS AND 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 applications, including the proposed budget, and of the capacity of the applicant and its 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 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 Do the applicant and partners have sufficient financial capacity, stable and sufficient sources of finance?	5
2. Relevance of the action	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 there an evaluation foreseen?	5
3.4 Is the partners' 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 its target groups? Has the importance of different risks (factors outside the direct control of project managers) been assessed, including the degree of negative impact they might have on achieving the objectives?	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 once the funding ends?</i>) - institutionally (<i>will structures allowing the activities to remain in place at the end of the action? Will there be local "ownership" of the results of the action?</i>)	5

- 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>)	
- environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	
5. Budget and cost-effectiveness of the action	15
5.1 Are the activities appropriately reflected in the budget? And are the costs relevant to the action?	5
5.2 Is the ratio between the estimated costs and the expected results efficient?	5x2
Maximum total score	100

*the scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

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

Provisional selection

Following the evaluation, a table will be established listing the applications ranked according to their score and within the available financial envelope; a reserve list will also be drawn up according to 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.

- 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 application on that sole basis.
- The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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 PADOR²³ 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. Applicants and partners that are already registered in PADOR and need to update their profile and/or supporting documents may do so by the deadline for submission of the Full application.

Any applicant submitting a "PADOR offline 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 offline 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**.

²³ See section 2.2.

Required supporting documents for the APPLICANT

1. **Legal Entity Sheet** (see annex D of these guidelines) duly completed and signed by the applicant, accompanied by the justifying 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 occurred in the meantime.

If the Applicants are **Associations of Local Authorities**, they will also have to supply the following documents:

1. **The statutes or articles of association of the applicant organisation**²⁴. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.1. above. 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 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 of the list above.

Required supporting documents for PARTNERS

If the partners are Associations of Local Authorities and Civil Society Organisations they will have to supply **the statutes or articles of association of the partner organisation**²⁵. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.2. above. 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 a PADOR offline form is submitted, must be sent together with the supporting documents.

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) 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

²⁴ When the organisation is a public body created by a law, a copy of the said law or other official document recognizing the body's public status in accordance with the relevant national law must be provided.

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 and must be provided.

²⁵ see previous footnote.

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 CONTRACTING AUTHORITY'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 or at the Eligibility check stage 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
Development and Co-operation Directorate General / EuropeAid
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 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
Development and Co-operation Directorate General / EuropeAid
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 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
–Development and Co-operation Directorate General / EuropeAid
Directorate D – Human and Society development
Attn. 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 CONTRACTING AUTHORITY'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 Application form (Annex A of these Guidelines), 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 interests. To this end, the Beneficiary must follow the procedures set out in Annex IV to the standard grant 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, if they are 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 a natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if a legal person) may be registered in the EWS only or in both 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 COMPLETED

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

ANNEX E: PADOR OFFLINE FORM (ONLY IF IMPOSSIBLE TO REGISTER IN PADOR AND ALSO FOR NATURAL PERSONS) http://ec.europa.eu/europeaid/work/onlineservices/pador/dispensation_en.htm

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD CONTRACT (WORD FORMAT) See documents from **E3h_1** to **E3h_10** 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: STANDARD 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: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS

E3h_9 - ANNEX VIII: MODEL FINANCIAL GUARANTEE

E3h_10 - ANNEX IX: STANDARD TEMPLATE FOR TRANSFER OF OWNERSHIP OF ASSETS

ANNEX G: FINANCIAL IDENTIFICATION FORM

See document **E3f** at http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

ANNEX H: DAILY ALLOWANCE RATES (PER DIEM):

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

ANNEX I: INFORMATION ON THE TAX REGIME APPLICABLE TO GRANT CONTRACTS SIGNED UNDER THE CALL.

ANNEX J: PROJECT CYCLE MANAGEMENT

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

ANNEX K: LIST OF ELIGIBLE BENEFICIARY COUNTRIES OR TERRITORIES