



European Commission

**Thematic Programme for Environment and sustainable management
of natural resources, including energy**

Restricted Call for Proposals

Guidelines for grant applicants 2012

Budget line 21 04 01

Reference: EuropeAid/132763/C/ACT/Multi

Deadline for submission of Concept Notes:

16 October 2012 at 16:00 hrs (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). 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 Contracting Authority and the signed "Declaration by the Applicant" sent together with the application.

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LIST OF ACRONYMS

DCI	Development Cooperation Instrument
EC	European Commission
EEA	European Economic Area
ENRTP	Thematic Programme for Environment and Sustainable Management of Natural Resources, including Energy
EU	European Union
FLEGT	Forest Law Enforcement, Governance and Trade
MDG	Millennium Development Goal
MEA	Multi-lateral Environment Agreement
MPA	Marine Protected Area
MS	Member State
NSA	Non-State Actor
OECD/DAC	Organisation for Economic Co-operation and Development / Development Assistance Committee
PADOR	Potential Applicant Data On-Line Registration
PES	Payment for ecosystem services
PRAG	Practical Guide to contract procedures for EC external actions
REDD	Reduced Emissions from Deforestation and Degradation
TSP	Thematic Strategy Paper
VPA	Voluntary Partnership Agreement

1. THE THEMATIC PROGRAMME FOR ENVIRONMENT AND SUSTAINABLE MANAGEMENT OF NATURAL RESOURCES, INCLUDING ENERGY

1.1 BACKGROUND

On 18 December 2006 the European Parliament and the Council adopted Regulation (EC) N° 1905/2006¹ (OJ L 378 of 27 December 2006, pp.41-71). This Regulation applies from 1 January 2007 to 31 December 2013 and establishes a financing instrument for development cooperation (hereafter referred to as the DCI Regulation) and forms the legal basis for the Commission to manage certain budget lines/items related to the implementation of certain external relations geographical and thematic programmes. This DCI Regulation was amended by the Regulation (EU) N° 1339/2011 of 13 December 2011.

In particular, Article 13 of the DCI Regulation lays down the basis for the strategic multi-annual programme on "Environment and sustainable management of natural resources, including energy" (hereafter referred to as the ENRTP Strategy Paper).

The Thematic Programme for Environment and Sustainable Management of Natural Resources including Energy (ENRTP) helps developing countries and partner organisations to address environmental and natural resource management issues. This programme complements targeted actions from geographical programmes by focusing on actions that foster innovation, stimulate cross country experience sharing and target EU policy priorities.

The ENRTP is part of the EU's response to help countries tackle the increasing environmental challenges and contribute to the achievement of the Millennium Development Goal on environment.

Through the ENRTP, the EU has dedicated resources to help developing countries and partner organisations address environmental and natural resource management issues and meet their obligations under Multi-lateral Environment Agreements (MEAs) and to take international policy leadership

The ENRTP Strategy Paper for the period 2011-2013², builds on the 2007-2010 Strategy (Decision C/2007/2572) and the mid-term review that was carried out in 2009. It was approved by the Commission on the 21 December 2010, and provides an indicative amount available for the period 2011-2013 of approximately €17 million. Reflecting the recommendations from the mid-term review, the new Strategy is centred on better structured environmental and natural resource management issues. The Strategy addresses several problems which have a profound effect on social and economic development, particularly on the lives of poor people, including climate change, rapidly degrading ecosystems, poor global environmental governance and lack of access to and security of energy supply. It contributes to achieving all the MDGs, by promoting environmental sustainability, protecting human health and boosting resilience to climate change, as well as creating conditions for sustainable food and energy security.

The EU policy priorities to be addressed through the ENRTP Strategy 2011 - 2013 are: 1) to help partner countries, in particular the most vulnerable ones, to adapt to the impacts of climate change; support the development of mitigation actions, including on Reducing Emissions from Deforestation and Forest Degradation (REDD+), and key implementing tools³; promote the conclusion of an ambitious and global climate agreement; and provide a framework for supply of sustainable energy in developing countries; 2) to support sustainable management of natural resources with a focus on forest governance through implementation of the Forest Law Enforcement Governance and Trade (FLEGT) Action Plan and the EU's

¹ http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/documents/dci_en.pdf

² http://ec.europa.eu/europeaid/how/finance/dci/documents/enrtp_strategy_paper_2011-2013.pdf

³ e.g. low emission development strategies, market readiness mechanisms, Monitoring, Reporting and Verification [MRV].

Biodiversity Strategy⁴ as well as to reduce the ecological footprint of the growing population and protect human health by promoting the green economy; and 3) to implement the international environmental and climate dimension of the EU's 2020 vision.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

1.2.1 *Objectives of the Programme (2007–2013)*

The principal objective of the ENRTP is set out in Article 13 of the DCI Regulation⁵ as follows:

The objective of the thematic programme on environment and sustainable management of natural resources, including water, and energy, shall be to integrate environmental protection requirements into the Community's development and other external policies as well as to help promote the Community's environmental and energy policies abroad in the common interest of the Community and partner countries and regions.

1.2.2 *Multi-annual programming (2011 – 2013)*

The Thematic Strategy Paper for 2011-2013 on environment and sustainable management of natural resources, including energy (ENRTP) was adopted on 21 December 2010 by the European Commission.

This three year Strategy groups the areas of activity set out in Article 13 of the DCI Regulation in three priority categories:

1. Climate change and sustainable energy;
2. Environment for development;
3. Strengthening environment and climate governance.

The strategy is implemented through different modalities: targeted projects with international organisations under joint management, targeted projects with Developing countries Governments or other partners, tenders for services and grants awarded through call for proposals.

1.2.3 *Programming – Priority issues for the present Call for Proposals*

This Call for Proposals concentrates on a limited range of themes identified under the multi-annual priorities: it focuses on some of the challenges associated with a) the role of forests in climate change mitigation, b) the rapidly degrading key ecosystems and c) the efforts to improve forest governance and combat illegal logging and associated trade.

The present Call for Proposals will benefit from the lessons learned from the previous Call for Proposals organised under the ENRTP. Civil society, including the private sector has a key role to play in the implementation and realisation of EU policies targeted at promoting environmental stewardship, responsible trade in forest products and climate change mitigation objectives. It is important to encourage the generation of new ideas and approaches that enrich EU policy development and in this regard the call for proposal have proved an effective tool. In order to ensure that initiatives supported under the ENRTP add value and are catalytic to other programmes, it is important that the Call for Proposal is more focused than in the past, both thematically and geographically. In addition, a more focused approach will avoid unnecessary effort by applicants and increase their success rate.

The present call will focus on themes that fall under two Priority areas of the Thematic Strategy ENRTP referred to below:

ENRTP Priority 1: Climate change and sustainable energy

⁴ http://ec.europa.eu/environment/nature/biodiversity/comm2006/pdf/2020/1_EN_ACT_part1_v7%5b1%5d.pdf

⁵ See footnote 1

ENRTP Priority 2: Environment for development

In the ENRTP Priority 1, only one theme is open under this call for proposals (one lot).

In the ENRTP Priority 2, two themes are open under this call for proposals (two lots).

It is brought to the attention of the applicants that the geographical coverage and the minimum and maximum size of the grant vary from one lot to another. An application **must** therefore **refer to one and only one of these lots** and clearly indicate the number and title of the lot selected. Only one proposal per lot per applicant is allowed. The evaluation of a Concept Note / Full Application Form (Proposal) will be done in relation to its relevance to the specific lot under which it was submitted. Only concept notes that are fully consistent with, relevant and contributing to the objectives of the specific lot will be selected.

Actions will be selected, inter alia, on the basis of their relevance, their expected results and potential effectiveness (see section 2.3 below – Concept note evaluation grid, Step 1). Each proposal must therefore have its own performance and success indicators, which must be objective and verifiable⁶. Furthermore, in addition to environmental objectives, actions must contribute to poverty alleviation, regardless of the lot under which they are submitted.

Proposed actions should be complementary and consistent with the relevant EC Country and Regional Strategies. They should also be complementary to any other ENRTP activities in the targeted regions. Overlaps should be avoided.

Minimum requirements regarding partnership are detailed at section 2.1.2. Adherence to these minimum requirements and the quality of the proposed partnership will be assessed at the Full Application stage (see section 2.3 below – Full application evaluation grid, Step 2).

The lots and the different actions which will be funded under the various lots are summarised below, together with the results that are expected from these actions and the indicators that the European Commission will use to verify their achievement.

ENRTP Priority 1 / Lot 1: Climate Change mitigation, in particular REDD

Type of actions eligible for financing:

Tackling deforestation, forest degradation and the impacts on climate: REDD+ Actions.

The discussions on deforestation and forest degradation in the Conference of the Parties of the United Nations Framework Convention on Climate change, and associated bodies have progressed and there is now a clear vision that REDD+ (policy approaches and incentives to reduce emissions from deforestation and forest degradation) should be part of a global agreement to address climate change. Climate negotiations have highlighted the potential for REDD+ to deliver more than short term mitigation and to provide positive incentives for the "non carbon benefits" of tackling deforestation and forest degradation including sustainable management of forests, biodiversity conservation and restoration, poverty alleviation or

⁶ For further reference for applicants the following two Guidelines should provide a useful framework for those involved in designing and managing calls for proposals to the extent that:

- all EC supported development projects (however financed and managed) can be assessed against the established set of quality attributes, criteria and standards (see Section 4.1.6), and
- good practice principles of project cycle management (including the Tools described in Sections 5 to 9) can be applied by whoever is receiving/managing EC funds.

EuropeAid Project Cycle Management Guidelines (notably Section 5)

http://ec.europa.eu/europeaid/multimedia/publications/documents/tools/europeaid_adm_pcm_guidelines_2004_en.pdf

Guidelines on the Integration of Environment and Climate Change in Development Cooperation (examples of environmental indicators are provided through the Guidelines and in Annex 10)

http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/172a_en.pdf

environmental services. Multi-lateral initiatives led by the UN and World Bank (FCFP and UNREDD) are helping to shape future REDD+ actions, working closely with developing countries and their stakeholders. There are numerous multilateral, bilateral and NGO-led activities starting in REDD+ (see the global REDD+ Partnership database). REDD+ actions under the ENRTP in 2012 should complement these on-going efforts and focus on one of the three subthemes described below. It will target support to stakeholders in developing African countries⁷ to establish effective policies and strategies that deliver sustainable and measurable REDD+ results. This focus is justified by the comparatively limited support going to develop REDD+ in Africa when compared to other tropical sub-regions. Proposals that foster cross-country experience sharing in Africa and develop approaches to work at national scale are particularly encouraged.

The types of actions which are eligible under this lot are the following:

- Actions that support partnerships between civil society and private sector that prevent or reduce deforestation and forest degradation in investments in large scale agricultural commodities.
- Actions that promote independent monitoring by in-country civil society of REDD+ investments and the application of REDD+ safeguards⁸, based on national best practice where this exists.
- Actions that develop effective links in practice between national FLEGT and REDD+ processes, with regards to stakeholder processes, monitoring, improved governance and law enforcement as well as legal reforms.

Proposals should be guided by the Commission Communication on deforestation COM (2008) 645.

There are numerous initiatives starting to develop on REDD+. Actions under this call for proposals should complement ongoing efforts and indicate the way in which their initiative will further national REDD+ strategies and will coordinate and complement ongoing projects.

All proposed actions should include specific provisions addressing communication, awareness raising and coordination with existing/ongoing initiatives. Communication to disseminate lessons should be framed as a key element of the action, not being limited to project reporting tasks. Proposals should also include provision for participation in annual information exchange meetings in Brussels or in the region.

Expected results:

- Reduction in deforestation and degradation rates (compared to national reference levels if available).
- Results of independent monitoring systems contributing to national MRV (monitoring, reporting and verification) of REDD+
- REDD+ aims integrated into FLEGT VPA and vice versa, improvement in forest governance framed in the implementation of national REDD+ strategies and policies
- REDD+ Safeguards respected in practice and related information readily available and feeding into the national system for providing information on how REDD+ safeguards are being addressed and respected throughout the implementation of the activities (UNFCCC Decision 1/CP.16, § 71)

⁷ The Africa focus is justified: it contributes to the Joint Declaration of Intent between Central Africa countries and donor countries to advance REDD+ in the Congo Basin (Durban, Dec 7, 2011). This declaration was signed by, inter alia, the European Commission, Germany, France and Norway. The REDD+ database (up to 2010) reports a much lower % of REDD+ funding going to Africa: 57% of REDD+ funding goes to Asia, 32% to Latin America and 11% to Africa. Figures for 2011 show no improvement in the position of Africa.

⁸ with a specific focus on UNFCCC decision 1/CP.16, appendix 1, paragraphs 2(c), (d) and (e). For the Guidelines: (c) Respect for the knowledge and rights of indigenous peoples and members of local communities, by taking into account relevant international obligations, national circumstances and laws, and noting that the United Nations General Assembly has adopted the United Nations Declaration on the Rights of Indigenous Peoples; (d) The full and effective participation of relevant stakeholders, in particular indigenous peoples and local communities, (...); (e) consistent with the conservation of natural forests and biological diversity, ensuring that the actions (...) are used to incentivize the protection and conservation of natural forests and their ecosystem services, and to enhance other social and environmental benefits (...)

Possible Indicators:

- Number of companies implicated in responsible commodity organisations (palm oil, soya, beef, etc)
- Number of partnerships between civil society and private sector on REDD+
- Publically available information on REDD+ safeguard implementation
- Number of REDD+ strategies integrating forest governance challenges.

Geographical scope: African countries with a forest cover of at least 10 million ha, representing more than 20% of country area, according to FAO statistics, and African countries which have concluded a VPA with the EU (see section 2.1.3)

Size of EC grant: Minimum €1 000 000 – Maximum €3 000 000

ENRTP Priority 2 / Lot 2: Biodiversity

Introduction:

Protected areas are the cornerstone of the global strategy to protect nature and wildlife. They are often the epicentre for sustaining the very eco-system services on which mankind is dependent for its own survival. These include watershed protection and hydrology, disaster risk reduction, provision of food and fibre, genetic resources for research and subsequent applications in medicine and agriculture, their critical role in mitigating and adapting to climate change and ultimately the conservation of biological diversity. Properly managed protected areas are not just important for preserving biological diversity; they are also a great economic asset for developing countries. They are source of formal employment either in the management of parks, or in tourism and associated private enterprises, not only inside the protected areas, but also in their buffer zones and the whole network of green infrastructures⁹. The UN's Convention on Biological Diversity conference of the parties in Nagoya (October 2010) set stringent new targets to be reached by 2020: at least 17% of terrestrial and inland water and 10% of coastal and marine areas have to be protected. But governments have often limited capacities to establish, finance and manage protected areas. Many parks are not being properly managed, are in the process of irreversible ecological decline and do not realise their full economic potential. For many years, all the donors including the EU have supported the State institutions in charge of the management of protected areas, with sometimes limited success. In some cases approaches were insufficient to create the necessary long-term domestic support for biodiversity conservation that is needed to sustain conservation achievements. Innovative approaches that can ensure long-term sustainability of protected areas need to be explored.

Type of actions eligible for financing:

The purpose of the ENRTP 2012 biodiversity lot is to foster institutional and private frameworks to enable sustainable financing of terrestrial and marine protected areas.

Actions proposed should complement on-going efforts to strengthen support for biodiversity conservation to the benefit of local populations in protected areas, their buffer zones and their interconnected network of biological corridors. Proposals shall indicate the way in which the action will foster national biodiversity strategies and will complement on-going projects.

Proposals that foster cross-country experience sharing and develop approaches to work at national scale will be accepted.

⁹ Green Infrastructure can be defined as a strategically planned and delivered network of high quality green spaces and other environmental features, delivering a wide range of benefits and services. Green Infrastructure includes natural and semi-natural areas, features and green spaces in rural and urban, terrestrial, freshwater, coastal and marine areas.

Type of actions eligible for financing include:

- Developing legal, policy and institutional frameworks to enable sustainable financing of parks agencies.
- Developing Public-Private-Partnerships or community-run management plans to ensure the long term financial stability of protected areas and green infrastructures.
- Mobilizing private funding through innovative financial mechanisms by fostering biodiversity entrepreneurship and enabling biodiversity entrepreneurs to experiment, invest and expand creative economic activities such as Payment for Ecosystem Services, markets for green products, business-biodiversity partnerships, ecotourism and new forms of charity.
- Developing Access and Benefit-Sharing Policy for Protected Areas to help managers maximise the potential gains from biodiversity research and prospecting.

All proposed actions should include specific provisions addressing communication, awareness raising and coordination with existing/ongoing initiatives. Proposals should also include provision for participation in annual information exchange meetings in Brussels or in the region.

Expected results:

- Measurable reductions in the loss of biodiversity and improvement in the services provided by the ecosystems in protected areas; increased benefits to local population of ecosystems services.
- Enhanced development and adoption of innovative financing instruments for increased sustainability of protected areas funding.

Possible indicators:

- Numbers of Protected Areas financing frameworks, and volume of financial contributions raised
- Number of projects piloting innovative financing mechanism, including PES, and volume of financial contribution rose.
- Number of Access and Benefit-Sharing schemes focusing on Protected Areas.

Geographical scope: Least Developed Countries¹⁰ (see section 2.1.3)

Size of EC grant: Minimum €500 000 – Maximum €2 000 000

ENRTP Priority 2 / Lot 3 Forest Governance and FLEGT

Type of actions eligible for financing:

Implementation of the EU FLEGT (Forest Law Enforcement Governance and Trade) Action Plan.

Illegal logging and weak forest governance has a devastating impact on some of the world's most valuable forests and the people that live in them and rely on the resources they provide. Its environmental effects include deforestation, loss of biodiversity, emission of green house gases and insecurity of the livelihoods of some of the world's poorest. The FLEGT Action Plan sets out an approach which supports developing countries to improve forest governance while using the leverage and incentives offered by the EU market to reinforce these efforts. Central to this Action Plan are Voluntary Partnership Agreements between the EU and timber-producing developing countries. To date the EU has agreed 6 VPAs (with Ghana, Cameroon, CAR, Congo, Liberia, Indonesia), negotiations are advancing with Vietnam, Malaysia, DRC and Gabon, while other countries have expressed an interest in engaging with the EU on FLEGT (Honduras, Guyana and

¹⁰ The country(ies) must belong to the group of LDC recipients of aid (in line with the official OECD/DAC list: <http://www.oecd.org/dataoecd/9/50/48858205.pdf>)

Lao People's Democratic Republic have asked to open VPA negotiations, other countries such as Ivory Coast and Guatemala have expressed interest on FLEGT).

The priority for 2012 is to foster strong and inclusive national processes that guide and frame negotiations and to help countries advance in implementation of the agreements as well as to share experience at the regional level. Therefore FLEGT actions will fall into one of two sub-lots:

1. Sublot 3.1 : Actions which introduce innovative approaches for in-country stakeholder groups to contribute strategically in the preparation, development, implementation and monitoring of VPAs. Actions should be coherent with on-going FLEGT related projects in those countries (a list of projects is available on EuropeAid website¹¹).
2. Sublot 3.2 :Actions which increase the visibility and demand for FLEGT licensed¹² timber and timber products in the EU and in other international markets as well as actions that increase demand for verified legal timber in domestic markets of countries with whom the EU has concluded a FLEGT VPA and/or with whom a VPA has been initialled or is being negotiated.

There are numerous initiatives starting to develop FLEGT: FLEGT actions under this call for proposals should complement ongoing efforts and indicate the way in which their initiative will further aims of FLEGT VPAs and work of private sector and civil society organisations in promoting actions under the VPA and will coordinate and complement ongoing projects.

All proposed actions should include specific provisions addressing communication, awareness raising and coordination with existing/ongoing initiatives. Communication to disseminate lessons should be framed as a key element of the action, not being limited to project reporting tasks. Proposals should also include provision for participation in annual information exchange meetings in Brussels or in the region.

Expected results:

- Positive and focused civil society and private sector contributions to the development and negotiations of VPA in more countries.
- Concerns of non state actors, including indigenous people integrated into the actions of FLEGT VPA.
- Effective implementation of FLEGT Voluntary Partnership Agreements as a result of greater societal involvement.
- Market share of tropical timber forest products from countries with FLEGT VPAs maintained or increased in EU.
- Awareness of EU private sector (buyers) of FLEGT licensed timber and forest products

Possible Indicators:

- Number of VPAs negotiated with active stakeholders' participation/contribution.
- Number of VPAs implemented with active engagement of civil society and the private sector
- Publically available information on forest sector in VPA countries, in particular as set out in the VPAs.
- Tropical timber forest products flow from countries with FLEGT VPAs.

Geographical scope:

Sublot 3.1: Countries engaged in VPA processes with the EU: Cambodia, Cameroon, Central African Republic, Congo, Ivory Coast, Democratic Republic of Congo, Equatorial Guinea, Gabon, Ghana,

¹¹ <http://ec.europa.eu/europeaid/temp/flegt>

¹² For the EU FLEGT licenses apply, for other international markets the relevant Timber Legality Assurance System described in the VPA

Guatemala, Guyana, Honduras, Indonesia, Lao People's Democratic Republic, Liberia, Madagascar, Malaysia, Mozambique, Myanmar, Papua New Guinea, Thailand, Vietnam, Zambia.

Sublot 3.2: Same countries as for sub-lot 3.1. In addition, for this sub-lot, when duly justified by the nature of the action, certain activities may take place in other countries provided that these activities constitute only a minor part of the action, that they benefit directly the target groups from the beneficiary countries or territories and that they contribute directly to the objectives of the present call for proposals. In such cases, the applicant must provide explanations which will be examined in the context of the evaluation.

Size of EC grant: Minimum €500 000 – Maximum €3 000 000

1.3 FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION

The overall indicative amount made available under this Call for Proposals is EUR 27 400 000 from the 2012 budget. Subject to the adoption of the 2013 Budget by the Budgetary Authority, an amount of EUR 7 000 000 from the 2013 budget will be added to the amount available for the call for proposals.

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

Size of grants and indicative allocation of funds per lot

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

Lot	Indicative total allocation (EUR)		Size of the EU contribution requested / EU grant (EUR)	
	from 2012 budget	from 2013 budget	Minimum	Maximum
1 REDD+	7 000 000		1 000 000	3 000 000
2 Biodiversity	12 000 000		500 000	2 000 000
3 FLEGT	8 400 000	7 000 000	500 000	3 000 000

In case where the indicative amount foreseen for a specific lot cannot be used due to insufficient quality or number of proposals received, the European Commission reserves the right to reallocate the remaining funds to another lot.

Any grant requested under this Call for Proposals may not exceed 80% of the total estimated eligible costs of the action. The balance (i.e. the difference between the total cost of the action and the amount requested from the European Commission) must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund¹³.

¹³ Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

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 (PRAG), 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 definitions provided in the present Guidelines and in the PRAG, 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
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 ¹⁴
Regional action	action implemented in or targeting two or more countries within the same geographically coherent area

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?*

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

- be legal persons **and**
- belong to one of the following categories:
 - non-State actors (NSAs)¹⁵; or

¹⁴ http://ec.europa.eu/budget/documents/financial_regulation_en.htm

¹⁵ As 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

- private sector organisations; or
- public or parastatal bodies, local authorities and consortia¹⁶ thereof or associations representing them;

(NB: Grants may not have the purpose or effect of producing a profit for the Beneficiary or for any of the partners.)

and

- be nationals^{17/18} of:
 - an eligible partner country as listed in section 2.1.3 or other developing countries specified in the OECD/Development Assistance Committee (OECD/DAC) list¹⁹

or

- an European Economic Area (EEA) Member State²⁰ or an official EU candidate country (Croatia, Iceland, Montenegro, Turkey, The Former Yugoslav Republic of Macedonia).

Furthermore, for proposed actions taking place in at least one **least developed country** as defined by the OECD/Development Assistance Committee (DAC) reciprocal access shall be granted to the members of the aforementioned Committee²¹

and

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

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address:

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

In Part A, section IV and if needed, 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.

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

¹⁶ A formal consortium or association of local authorities may submit an application under the name of the legally constituted consortium or association. If the consortium is an informal grouping, the application must be submitted under the name of a lead local authority with the others acting as partners. See section 2.4 of these guidelines for the supporting documents to be provided in each case.

¹⁷ Such nationality being determined on the basis of the organisation’s statutes which should demonstrate that it has been established by an instrument governed by the internal law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if they are registered locally or have signed a “Memorandum of Understanding”.

¹⁸ 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.

¹⁹ Annex II 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, OJ L378, 27/12/2006, as amended by Regulation (EC) No 960/2009 of 14 October 2009, OJ L270, 15/10/2009, <http://eurlex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2009:270:0008:0011:EN:PDF>

²⁰ The 27 EU Member States, Iceland, Liechtenstein and Norway

²¹ Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxemburg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States

2.1.2 Partnerships and eligibility of partners

Applicants may act individually or with partner organisations.

Partners

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

Applicants having the nationality²² of an EEA Member State²³ or of a country eligible under the reciprocal access rules²⁴ **must** act in partnership with at least one local organisation having the nationality of the country or of one of the countries where the action takes place (except for sub lot 3.2).

In all other cases, partnership is not mandatory but highly recommended, especially with local organisations from countries where the action is to be implemented.

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

- **Associates**

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. The associates have to be mentioned in Part B section 5 - “Associates of the Applicant participating in the Action” of the Grant Application Form.

- **Subcontractors**

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract. (Annex X (document E3h_3) indicated in Section 3 of the present Guidelines)

- **Sub-grantees**

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

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

Duration

The planned duration of an action may not be lower than 24 months nor exceed 60 months.

Location

Actions must take place in one or more of the following countries or territories eligible for the lot of the application (see Section 1.2.3).

Inter-regional actions²⁵, however, are **not eligible** under this Call for Proposals, except for sub-lot 3.2

²² See footnote 16.

²³ See footnote 18.

²⁴ See footnote 19.

²⁵ Inter-regional action is described as an action implemented in or targeting two or more geographical areas as defined under regional action" in page 13 of these Guidelines.

Country/Territory	Lot		
	1	2	3
Afghanistan		*	
Angola	*	*	
Bangladesh		*	
Benin		*	
Bhutan		*	
Burkina Faso		*	
Burundi		*	
Cambodia		*	*
Cameroon	*		*
Central African Republic	*	*	*
Chad		*	
Comoros		*	
Congo	*		*
Democratic Republic of the Congo	*	*	*
Djibouti		*	
Equatorial Guinea**		*	*
Eritrea		*	
Ethiopia		*	
Gabon	*		*
Gambia		*	
Ghana	*		*
Guatemala			*
Guinea		*	
Guinea-Bissau		*	
Guyana			*
Haiti		*	
Honduras			*
Indonesia			*
Ivory Coast	*		*
Kiribati		*	
Lao People's Democratic Republic		*	*
Lesotho		*	
Liberia	*	*	*
Madagascar	*	*	*
Malawi		*	
Malaysia			*
Mali		*	
Mauritania		*	
Mozambique	*	*	*
Myanmar		*	*
Nepal		*	
Niger		*	
Papua New Guinea			*

Country/Territory	Lot		
	1	2	3
Republic of South Sudan**	*		
Rwanda		*	
Samoa		*	
São Tomé and Príncipe		*	
Senegal		*	
Sierra Leone		*	
Solomon Islands		*	
Somalia		*	
Sudan**		*	
Timor-Leste		*	
Thailand			*
Togo		*	
Tuvalu		*	
Uganda		*	
United Republic of Tanzania	*	*	
Vanuatu		*	
Vietnam			*
Yemen		*	
Zambia	*	*	*
Zimbabwe	*		

** Further to the non-ratification of the revised Cotonou Agreement by Sudan and Equatorial Guinea, these countries can only be included as action location in the context of an action having a regional scope, if their participation is indispensable for the implementation of such actions. This will be examined on a case by case basis, taking into account the justification provided by the applicants concerned, during the evaluation procedure.

As regards South Sudan activities in this country could only be foreseen if duly justified by the nature of the action and provided that such activities constitute only a minor part of the action and that they contribute directly to the objectives of the call for proposals.

Visibility

Applications should include a communication and visibility strategic plan in both the Full Application Form and the budget in line with the EC visibility guidelines:

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

Monitoring and Evaluation²⁶

Actions should foresee planning, human resources, budget and any other appropriate measures for the monitoring and evaluation of the proposed action, together with objectively verifiable indicators. Budget should be foreseen for reporting to the European Commission (travel, per diem), be at Brussels' Headquarters or the Delegations.

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.

²⁶ http://ec.europa.eu/europeaid/how/ensure-aid-effectiveness/monitoring-results_en.htm

In case where the applicant foresees 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 (Grant Application Form Annex A, Part B, Section II, point 1.4), 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 ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- 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 not submit more than one (1) application per lot under this Call for Proposals.

An application may not address more than one (1) lot under this Call for Proposals.

An applicant may not be awarded more than three (3) grants under this Call for Proposals.

An applicant may at the same time be partner in another application submitted under this Call for Proposals.

Partners may take part in more than one application under this Call for Proposals.

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

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 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 in any case.

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

Eligible direct costs

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

Note that taxes, including VAT will only be accepted as eligible costs when the Beneficiary (or, where applicable, its partners) can show it cannot reclaim them. Taxes shall in such case be included in the Budget of the Action under each heading Information on taxes can be found in Annex I to these 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 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, no indirect costs may be claimed within the proposed budget for the action.

Contributions in kind

Contributions in kind are not considered actual expenditure and are not eligible costs. The 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 the 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.

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.

Prior registration in PADOR system (Potential Applicant Data On-Line Registration), available at http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm for this Call for Proposals is **obligatory for both applicant and their 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. 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, on one page, the process of registration in PADOR);
- the Frequently Asked Questions;
- the PADOR user's guide.

These 3 documents are available on the website indicated above.

Notwithstanding the above, 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"²⁷ in annex of these Guidelines and send it by the submission deadline along with the application to the address indicated in sections 2.2.2 and 2.2.6. 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 the registration in PADOR should be addressed to **the PADOR helpdesk** at: 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 annexed to these Guidelines (Annex A) taking care to use the correct application documents for this Call to be downloaded from the EuropeAid website at <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

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

Concept Notes must be submitted in one of the following Community languages: English, Spanish or French, whichever is the most commonly used by the targeted populations in the country(ies) in which the action takes place.

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

²⁷ Which corresponds to Sections 3 and 4 of Part B of the application form.

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 information provided is unclear, thus preventing the European Commission from conducting an objective assessment.

Hand-written Concept Notes will not be accepted.

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

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-ENRTP-Applications@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 for Concept Note (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 **16/10/2012 at 16:00 hrs (Brussels date and time)**.

Applicants are strongly advised **not to wait until the last day** to submit their concept notes, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The 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 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-ENRTP-Call@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:**

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

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

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 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 regularly consult the abovementioned website 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 the 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), and

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); and

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, any other donors' contributions, etc). NB. See section 1.3 for the rules on maximum percentage of EU contribution.

The amount of the requested EC 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 of these guidelines.

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.

Please complete the Full Application form carefully and as clearly as possible so that it can be assessed properly. 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 (e.g. the amounts mentioned in the budget worksheets are inconsistent) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing the Contracting Authority 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-ENRTP-Applications@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 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 Gant 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 (Section 6 of Part B 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 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 European Commission cannot be held responsible for delay due to such aforementioned difficulties.

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

2.2.8 *Further information for the Full Application form*

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

E-mail address: EuropeAid-ENRTP-Call@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 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 Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a partner or an action.

Questions that may be relevant to other applicants, together with the answers, will 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 regularly consult the abovementioned website 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 with the possible assistance of external assessors.

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.

All actions submitted by applicants will be assessed according to the following steps and criteria.

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 (Section II of Part A 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 objectives and priorities of specific lot of the Call for Proposals?	5x2	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU (EC and MS) initiatives and avoidance of duplication)	5x2	
1.3 How clearly defined and strategically chosen are the final beneficiaries and target groups ? Have their needs been clearly defined taking into consideration other ongoing initiatives and does the proposal address them appropriately?	5	
1.4 Does the proposal contain specific elements that add value to the action : either (1) that indicate an innovative approach which could inform future policy-making & programme design or (2) that may have <u>additional benefits</u> of strengthened rights & addressed needs of marginalised peoples such as disabled, landless minorities, indigenous people, women?	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? Does it include an analysis of ongoing initiatives and clear indication of complementarity?	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.

First, only the Concept Notes which have been given a score of a minimum 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, taking into account the indicative financial envelopes foreseen by lot.

Following the Concept Note evaluation, the Contracting Authority 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 were 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.

STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

Restricted Call for Proposals

- 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 (Section VI of Part B 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 applications 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 applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover such aspects as the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, 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, if applicable, partners have sufficient experience of project management?	5
1.2 Do the applicant and, if applicable partners have sufficient technical expertise? (notably knowledge of the issues to be addressed.)	5

1.3 Do the applicant and, if applicable, 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 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? How are the policy oriented objectives articulated with expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the policy outcomes of the action? Is evaluation foreseen?	5
3.4 Is the partners' level of involvement and participation in the action appropriate?	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	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 local "ownership" of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, better law enforcement, codes of conduct, methods, 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 score is less than 12 points for section 1, the application 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.

- The Declaration by the applicant (Section VII of Part B 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 FOR PROVISIONALLY SELECTED APPLICATIONS

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 PADOR²⁸ 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**.

Required supporting documents for the applicant:

1. The statutes or articles of association of the applicant organisation²⁹. 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.
4. **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 Contracting Authority, 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.

²⁸ See section 2.2.

²⁹ Where the organisation is a public (including local authorities) or parastatal body created by a law, a copy of the said law or other official document recognizing the body's public or parastatal status in accordance with the relevant national law must be provided. Where the organisation is a legally constituted consortium or association of Local Authorities, the statutes or articles of association of the said consortium or association must be provided.

Required supporting documents for partners:

The statutes or articles of association of the partner organisation³⁰. 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 electronic file as the original language version (or, when a "PADOR offline form" is submitted, be sent with the supporting documents).

³⁰ See footnote 29..

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
Directorate-General for Development and Cooperation — EuropeAid
Unit C.7 Finance, Contracts, Audit - Sustainable Growth and Development
Attn. Head of the Finance and Contracts Sector
Office: L 41 03/137
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
Directorate-General for Development and Cooperation — EuropeAid
Unit C.2 Climate Change, Environment, Natural Resources, Water
Attn. Head of Unit
Office: L41 02/018
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
Directorate-General for Development and Cooperation — EuropeAid
Directorate C Sustainable Growth and Development
Attn. The Director
Office: L41 03/169
B-1049 Brussels, Belgium

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

2.5.2 *Indicative time table*

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 Contracting Authority's standard grant contract (see Annex G of these Guidelines). Applicant should be aware that the current revision of COUNCIL REGULATION No 1605/2002 of 25 June 2002 on the "Financial Regulation applicable to the general budget of the European Communities, (OJ L 248, 16.9.2002, p.1, herein after the "Financial Regulation") will impose certain changes to the Contracting Authority's standard grant contract, notably - but not only - with regard to interests on pre-financing and on the deadlines for payments owed by the Contracting Authority.

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 laid down in the standard grant contract, including the changes that will be introduced as a consequence of the revision of the Financial Regulation.

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, should they be in one of the situations mentioned in:

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

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

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET

ANNEX E: FINANCIAL IDENTIFICATION FORM

ANNEX F: 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 G: STANDARD GRANT CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: CONTRACT AWARD PROCEDURES
- ANNEX V: STANDARD REQUEST FOR PAYMENT
- ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT
- ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EU FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL FINANCIAL GUARANTEE
- ANNEX IX: STANDARD TEMPLATE FOR TRANSFER OF OWNERSHIP OF ASSETS

ANNEX H: DAILY ALLOWANCE RATES (PER DIEM), available at the following address:

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

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

PROJECT CYCLE MANAGEMENT GUIDELINES

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