



**Contracting Authority:** European Commission

One Health Programme in Asia

**DRAFT**

Guidelines  
for grant applicants

Budget Line: 19.100101

Reference: 133708

Deadline for submission of proposals: 22/02 2013

## **NOTICE**

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

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# 1. One Health Programme in Asia

## 1.1 BACKGROUND

Infectious diseases caused by new pathogens occur regularly and at least 30 of such new pathogens have been described by the World Health Organisation over the last 30 years, of which more than 65% had their origin in animals. Severe epidemics/epizootics or pandemics/panzootics can have a devastating socio-economic impact, particularly on developing economies and the poorest or more vulnerable sectors of societies. Emerging diseases risks are expected to keep increasing and it is therefore critical that countries and regions work together to establish or reinforce prevention and management systems.

With Avian Influenza H5N1 re-emerging on the heels of the SARS epidemic in early 2004 and infecting humans, it became apparent that close cooperation of the animal health and human health sectors was not only important, but indispensable in order to quickly detect hotspots and outbreaks in poultry as well as to identify human cases as soon as possible. This close collaboration helped in following years to strengthen surveillance and response systems and although the Avian Influenza virus H5N1 has not yet acquired naturally the capability to easily infect and transmit among humans most countries did respond faster and more effectively to the Pandemic (H1N1) of 2009 (which fortunately was rather mild) when it broke out and quickly spread around the world in 2009.

Officials of the animal and human health sectors as well as other actors who have been involved in pandemic preparedness and response, recognise the importance of continuing the collaboration between and across different sectors linked to health and to further strengthen the integrated One Health (OH) approach.

In recent years, the concept of One Health has evolved with increasing international momentum, as an approach that is addressing major health risks originating at the interface between animals, humans and their various environments.

While the interest in the links between animal and public health is not new and in various forms can be traced back to the 19th century or even much earlier, the experience in dealing with SARS, highly pathogenic avian influenza and Pandemic (H1N1) 2009 has shown that it is important to develop a new culture of communication, coordination and collaboration between various sectors capable of impacting health. The OH approach keeps gaining strong momentum and is being endorsed by an increasing number of actors.

The Communication of the European Commission on the role of the EU in Global Health underlined the importance of paying closer attention to the concept of 'one world, one health'<sup>1</sup>. The approach is hence actively promoted by the Commission inside the EU and in external actions by the Commission and the EEAS. EU institutions have been actively involved in the preparation and implementation of most of the international conferences on this subject, including at ministerial level.

In recent years a number of key documents have been published on OH. In 2008 the FAO, OIE, WHO, UNSIC, UNICEF and the World Bank jointly published a consultation document 'Contributing to One World, One Health'. In April 2010 the FAO, OIE and WHO agreed on a tripartite concept note on 'Sharing responsibilities and coordinating global activities to address health risks at the animal-human-ecosystems interfaces'. In August 2011 the Ministry of Foreign affairs of France published the (favourable) 'French Position on the One Health Concept'.

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<sup>1</sup> [http://ec.europa.eu/development/icenter/repository/COMM\\_PDF\\_COM\\_2010\\_0128\\_EN.PDF](http://ec.europa.eu/development/icenter/repository/COMM_PDF_COM_2010_0128_EN.PDF) (accessed 19 January 2012).

The International Ministerial Conference on Animal and Pandemic Influenza (IMCAPI) in Hanoi, Vietnam, in April 2010 concluded with, in the “Hanoi Declaration”, an encouragement to embrace the OH approach. Special expert meetings aiming to promote and help implement the OH approach have taken place in recent years in Winnipeg, Melbourne, Stone Mountain and recently Atlanta (November 2011). Ministerial encouragements to the OH approach have been frequently expressed and the initiatives of ASEAN Ministers of Agriculture in this respect -including the set-up of an ASEAN OH task force- should be underlined<sup>2</sup>.

The OH Programme Asia intends to further strengthen and institutionalise the collaboration of the animal and human health sectors; and to support identifying more clearly the relevant issues and drivers at the ecosystem or environmental health interface. While collaboration between the animal and human health sectors have taken place in many countries and are recognised to being important and even essential for a fast and effective response to outbreaks of infectious diseases, such collaboration has mainly taken place in response to crises or emergency situation and in many cases on an ad hoc basis. A framework and mechanisms to institutionalise this collaboration also in 'non-crisis' times and to extend it to other health-related sectors, including in first instance the environment, is yet missing in most countries in Asia.

It will do so by using a regional approach, which will require the involvement of regional actors or at least of two or more countries, with a particular priority on Afghanistan, Bangladesh, Bhutan, Nepal, Cambodia, Lao PDR and Myanmar, the least developed countries within ASEAN and SAARC. The call for proposals will enable and encourage non-traditional actors and a bottom-up approach in developing the project proposals for respective countries and the region, that might cover important areas as confirmed by the programme identification mission that visited the region in October and November 2011, such as studies and research, advocacy, training and implementation of specific OH courses, development of policies and frameworks and other potential pilot activities.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

**Global objective:** The program is designed to improve health and well-being of fragile populations in Asia by tackling health risks and challenges at the interface between animals, humans and their various environments.

**Specific objective:** The programme aims to strengthen capabilities in notably the Least Developed Countries in Asia to address and prepare for risks related to infectious diseases via the promotion of innovative and regional cross-sectoral and multi-actor collaborations and networking through the implementation of the One Health approach.

## 1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is EUR 9.650.000 The Contracting Authority reserves the right not to award all available funds.

### Size of grants

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

- minimum amount: EUR 1.000.000
- maximum amount: EUR 2.000.000

Any grant requested under this Call for Proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

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<sup>2</sup> <http://www.asean.org/25395.htm> (accessed on 19 January 2012).

- Minimum percentage: 50 % of the total estimated eligible costs of the action.
- Maximum percentage: 90 % of the total eligible costs of the action (see also Section 2.1.4).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund<sup>3</sup>.

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<sup>3</sup> 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, which is applicable to the present call (available on the Internet at this address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)).

### 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**
- be non profit making **and**
- be non-governmental organisations, public sector operators, local authorities, international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation<sup>4</sup> **and**
- be established in<sup>5</sup> a Member State of the European Union. (This obligation does not apply to international organisations), or
  - I. a Member of the European Economic Area (Iceland, Lichtenstein, Norway), or
  - II. an official Candidate Country as recognised by the EU (Croatia, Iceland, The former Yugoslav Republic of Macedonia, Turkey), or
  - III. a beneficiary country<sup>6</sup> of the DCI, or
  - IV. an OECD/DAC member country (Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Korea, Luxembourg, Netherlands, New Zealand, Norway, Poland, Portugal, Spain, Sweden, Switzerland,

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4 International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies, European Investment Bank (EIB) and European Investment Fund (EIF) are also recognized as international organisations.

5 To be determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a "Memorandum of Understanding" has been concluded.

<sup>6</sup> Asia: Afghanistan, Bangladesh, Bhutan, Cambodia, China, Democratic Republic of Korea, India, Indonesia, Laos, Malaysia, Maldives, Mongolia, Myanmar, Nepal, Pakistan, Philippines, Sri Lanka, Thailand, Vietnam. Latin America: Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, El Salvador, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, Venezuela. Central Asia: Kazakhstan, Kyrgyz Republic, Tajikistan, Turkmenistan, Uzbekistan. Middle East: Iran, Iraq, Oman, Saudi Arabia, Yemen and South Africa

United Kingdom, United States), only for the actions implemented in the least developed countries within ASEAN and SAARC.

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

In: Part A, section 3 of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

### 2.1.2 Partnerships and eligibility of partners

Applicants must act with partner organisations as specified hereafter.

#### Partners

In the case the applicant comes from an eligible non-Asian country or an international organisation, at least two partners from Asian countries are required, with at least one of these being from one of the Less Developed Countries: Afghanistan, Bhutan, Nepal, Bangladesh, Cambodia, Laos and Myanmar.

In the case the applicant comes from an Asian country there should be at least one partner from Asian countries, with either the applicant or the partner being from one of the Less Developed Countries: Afghanistan, Bhutan, Nepal, Bangladesh, Cambodia, Laos and Myanmar.

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.

#### **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.

- Contractors

The grant beneficiaries have the possibility to 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.

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.

Eligible actions are those aiming at:

- Linking wildlife, ecosystems, environments (including socio-economic) and health;

- Assessing (socio-economically) the burden of neglected zoonoses and the added value of the OH approach;
- OH advocacy in particular vis-à-vis the public health sector;
- Asian OH network and governance;
- Communication in time of sanitary crisis and “peace”;
- Addressing critical control points at the animal-human-environment (AHE) interface;
- Dealing with “infectious uncertainty”; new approaches to health risks at the AHE interface
- Setting-up truly cross-sectoral collaboration beyond the traditional health sub-sectors (human and animal health professionals);
- Creating a OH culture among young professionals (joint events, exchanges, joint trainings and research, etc.);
- Improving curricula and university training in health-related subjects-reaching a common Asian minimum standard; -covered by OIE for animal health-
- Providing a master plan (offer/demand - local ownership - recipient driven) for OH training of veterinary and medical professionals in high-risks countries (demand-driven, country-owned planning of training, which is not the case now).

In promoting the programme's objectives, the following approaches should be adopted:

- Actions should be developed through consultation with beneficiaries (demand-driven).
- Where possible, actions should be designed to extend and develop the work of existing regional and national programmes in health, environment and animal health.
- Where possible, actions should be aligned and complementary to existing national government strategies
- Proposals should have clear exit strategies (in line with the countries' strategies if applicable) which must prove the sustainability of results.
- Gender issues should be clearly addressed, as should issues of exclusion from the mainstream on other grounds, such as caste, ethnicity and religion.
- Environmental issues should be clearly addressed.
- All project proposals should ensure EU visibility including acknowledgment of EU support in all public presentations. An appropriate allocation should be made in the project budget for communication, visibility and awareness activities.

### Duration

The planned duration of an action may not may not be lower than 36 months nor exceed 48 months.

### Sectors or themes

Human health, animal health and environment.

### Location

Activities must take place in at least two Asian countries. These activities should in priority take place in one or more of the Least Developed Countries in Asia (Afghanistan, Bhutan, Nepal, Bangladesh, Cambodia, Laos and Myanmar) or exceptionally in other Asian countries. Certain specific activities could take place in European Union Member States.

### Types of action

Projects will need to be focused on the cross section of themes, have an innovative character and have a regional dimension in Asia.

### Types of activity

Although not exhaustive the type of activities could include: curriculum development, education, training, capacity building, networking, information and best practice exchanges, twinning, awareness raising and publicity.

Note that the applicant must comply with the objectives and priorities and guarantee the visibility of the EU-financing (see the Communication and Visibility Manual for EU external actions laid down and published by the European Commission at (see [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)).

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;

#### Number of applications and grants per applicant

An applicant may submit more than one application under this Call for Proposals, however the partners, the geographical coverage and content must be different for each proposal.

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

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

Partners may take part in more than one application

### *2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant*

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". 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 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 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 J 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 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 actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary.

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;

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

Prior registration in PADOR for this Call for Proposals is obligatory.

- **Phase 1, The concept note:** Registration in PADOR is obligatory for the applicants.

Registration is optional but recommended for:

- their partners
- **Phase 2, The full proposal:** Registration in PADOR is obligatory for all pre-selected applicants and all their partners.

PADOR is an on-line database in which organisations register themselves and update regularly their data, through the Europeaid website: [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

Before starting the registration of your organisation in PADOR, please read the "Quick guide" available on the website. It explains the registration process.

You have to indicate on the paper version of the proposal the EuropeAid ID (EID). To get this identification, your organisation must register, save and "sign" (committing your responsibility) in PADOR obligatory data (on each screen the fields written in orange) and the related documents (see section 2.4).

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"<sup>7</sup> 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](mailto:Europeaid-pador@ec.europa.eu).

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<sup>7</sup> Which corresponds to Sections 3 and 4 of Part B of the application form.

### 2.2.1 *Concept Note content*

Applications must be submitted in accordance with the instructions on the Concept Note included in the Grant Application Form annexed to these Guidelines (Annex A).

Applicants must apply in English.

In the Concept note, the applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements assessed on the basis of the concept note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. The applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in the present Guidelines under section 1.3.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

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

Hand-written Concept Notes will not be accepted.

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

### 2.2.2 *Where and how to send concept notes*

The Concept note together with the Checklist for the Concept Note (Part A section 2 of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section 3 of the grant application form) must be submitted in one original and 2 copies in A4 size, each bound.

Concept Notes must be submitted as well in electronic format (CD-Rom). The electronic format must contain **exactly the same** application as the paper version enclosed.

Where an applicant sends several different concept notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with [the lot number and title] the full name and address of the applicant, and the words "Not to be opened before the opening session".

Concept Notes must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

Postal address and for hand delivery and by private courier service

European Commission

DG for Development and Co-operation – EuropeAid

Directorate H, Asia, Central Asia, Middle East/Gulf and Pacific

Unit H3, Finances, Contracts, Audit

Office J-54 08/16

Avenue du Bourget 1

B-1049 Belgium

Concept Notes sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

**Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section 2 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 Note is 22/02/2013 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is 22/02/2013 at 16.00 hours local time as evidenced by the signed and dated receipt. Any Concept Note submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any Concept Note received after the effective date of approval of the Concept note evaluation (see indicative calendar under section 2.5.2)

### 2.2.4 *Further information for Concept Note*

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of concept notes to the below address, indicating clearly the reference of the Call for Proposals:

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

The Contracting Authority has no obligation to provide further clarifications after this date.

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

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

Questions that may be relevant to other applicants, together with the answers as well as other important notices to applicants 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](mailto:Europeaid-pador@ec.europa.eu)

### 2.2.5 *Full Application form*

Applicants invited to submit a full application form following the pre-selection of the Concept Note must do so by using the Part B of the application form annexed to these Guidelines (Annex A). Applicants should keep strictly to the format of the application form and fill in the paragraphs and the pages in order.

The elements assessed on the basis of the concept note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, while the applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.3.

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.

Any error related to the points listed in the Checklist (Part B, Section 6 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.

Please note that only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators and assessors. 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*

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) at the address below:

### Postal address and for hand delivery and by private courier service

European Commission  
DG for Development and Co-operation – EuropeAid  
Directorate H, Asia, Central Asia, Middle East/Gulf and Pacific  
Unit H3, Finances, Contracts, Audit  
Office J-54 08/16  
Avenue du Bourget 1  
B-1049 Belgium

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applications must be submitted in one original and two copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the full application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version.

The Checklist (Section 6 of Part B of the grant application form) and the Declaration by the applicant (Section 7 of Part B of the grant application form) must be stapled separately and enclosed in the envelope

Where an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number and the title of the Call for Proposals**, together with the number and title of the lot the full name and address of the applicant, and the words "Not to be opened before the opening session".

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

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of evaluation report for full applications (see indicative calendar under Section 2.5.2)

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

Questions 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-ONE-HEALTH-ASIA@ec.europa.eu](mailto:EuropeAid-ONE-HEALTH-ASIA@ec.europa.eu)

Contracting Authority has no obligation to provide further clarifications after this date.

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

In the interest of equal treatment of applicants, the 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.

## 2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the application shall be rejected on this sole basis.

### (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 1-5 of the Checklist (Section 2 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**

<b>1. Relevance of the action</b>	Sub-score	<b>30</b>
1.1 How relevant is the proposal to the objectives and priorities 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 initiatives and avoidance of duplication)	5x2*	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices and the other additional elements indicated under 1.2. of these guidelines?	5	
<b>2. Design of the action</b>	Sub-score	<b>20</b>
2.1 How coherent is the overall design of the action?  In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	

**TOTAL SCORE 50**

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

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

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.

## **STEP 2: EVALUATION OF THE FULL APPLICATION**

First, the following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-8 of the Checklist (Section 6 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**

<b>Section</b>	<b>Maximum Score</b>
<b>1. Financial and operational capacity</b>	<b>20</b>
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
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the partners' level of involvement and participation in the action satisfactory?	5
<b>4. Sustainability of the action</b>	<b>15</b>
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</i> )	5

<i>of the action? Will there be local “ownership” of the results of the action?)</i> - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> ) - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
<b>Maximum total score</b>	<b>100</b>

\*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 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 Contracting Authority (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 7 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**

Applicants who have been provisionally selected or listed under the reserve list will be informed in writing by the Contracting Authority. They will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners:<sup>8</sup>

Supporting documents may/must be provided through PADOR, see Section 2.2

1. The statutes or articles of association of the applicant organisation<sup>9</sup> and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period),

<sup>8</sup> No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

<sup>9</sup> Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

unless a change in its legal status has occurred in the meantime.<sup>10</sup> This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:  
[http://ec.europa.eu/europeaid/work/procedures/financing/international\\_organisations/other\\_international\\_organisations/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_international_organisations/index_en.htm)

2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.

This obligation does not apply to international organisations.

This obligation does not apply to public bodies.

This obligation does not apply to secondary and higher education establishments.

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)<sup>11</sup>.
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.
5. A financial identification form conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

This bank account must yield interest or equivalent benefits. If costs for opening and/or maintaining such an account equals or exceeds the expected interest, applicants may be exempted from this obligation by submitting a declaration of honour to this fact.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union a translation into the language of the call for proposals of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than the language 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 eligibility, into the language of the call for proposals.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

Based on the verification of the supporting documents by the Evaluation Committee it will make a final recommendation to the Contracting Authority which will decide on the award of grants.

## 2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

### 2.5.1 Content of the decision

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<sup>10</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

<sup>11</sup> This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

Applicants will be informed in writing of the Contracting Authority's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint. See further Section 2.4.15 of the Practical Guide.

<b>2.5.2 Indicative time table</b>
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	<b>DATE</b>	<b>TIME*</b>
<b>Deadline for request for any clarifications from the Contracting Authority</b>	01/02 2013	16:00
<b>Last date on which clarifications are issued by the Contracting Authority</b>	11/02 2013	-
<b>Deadline for submission of Concept Notes</b>	22/02 2013	16:00
<b>Information to applicants on the opening &amp; administrative checks and concept note evaluation (step 1)</b>	29/03 2013*	-
<b>Invitations for submission of Full Application Form</b>	29/03 2013*	-
<b>Deadline for submission of Full Application Form]</b>	24/05 2013*	-
<b>Information to applicants on the evaluation of the Full Application Form (step 2)</b>	01/07 2013*	-
<b>Notification of award (after the eligibility check) (step 3)</b>	15/07 2013*	-
<b>Contract signature</b>	01/10 2013*	-

\***Provisional date.** All times are in the time zone of the country of the Contracting Authority

This indicative timetable may be updated by the Contracting Authority during the procedure. In such case, the updated timetable shall be published on internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

## **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). 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.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the Contracting Authority will be used instead of the standard grant contract provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU external actions.

### 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

#### 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/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

ANNEX I: STANDARD CONTRIBUTION AGREEMENT, APPLICABLE IN CASE WHERE THE BENEFICIARY IS AN INTERNATIONAL ORGANISATION

ANNEX J: 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](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)