European Commission

Non-State Actors and Local Authorities in Development

Coordination, cooperation and networking activities among European organisations

PUBLISHED UNDER THE SUSPENSIVE CLAUSE

Open Call for Proposals 2010 for Non State Actors

Guidelines for Grant Applicants

Budget line 21.03.01

Reference: EuropeAid/129494/C/ACT/Multi

Deadline for submission of applications: **14 June 2010**

Notice

Prior registration by applicants and partners in EuropeAid's on-line database, PADOR, **available at** http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm, is obligatory under the present call for proposals (see section 2.2 below for details).

Only submission by email is permitted under this call for proposal.

This is an **open Call for Proposals**. Applications must include both a Concept Note and a Full Application Form. In the first instance, only the Concept Notes will be evaluated. Thereafter the Full Application Forms corresponding to the pre-selected Concept Notes will undergo evaluation.

However the European Commission reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when the quantity of proposals received is limited) and to proceed directly to the evaluation of the corresponding Full Applications.

The eligibility conformity check will only be performed for the full applications that are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the European Commission and the "Declaration by the applicant" signed and sent together with the application.

SUSPENSIVE CLAUSE

The conclusion of grant contracts for actions selected under this Call for Proposals is subject to the adoption of the relevant financing decision, i.e. the adoption of the Annual Action Programme.

The adoption of the afore-mentioned programme does not depend only on the European Commission. If the above-mentioned programme is substantially modified and/or does not provide adequate coverage for the proposed action or is not adopted, the present Call for Proposals or some of its allocations may be cancelled and/or replaced by other Calls for Proposals adapted to the finally approved Annual Action Programme.

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

1.1 BACKGROUND

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

§ Objective 1: Support to development actions, to be implemented by Non-State-Actors (NSA) or Local Authorities (LA), in close cooperation with the local communities and the most vulnerable population groups, aiming at promoting an inclusive and empowered society in partner countries.

§ Objective 2: Support to actions in the EU and acceding countries aiming at raising public awareness of development issues and promoting education for development, to mobilise greater support for actions against poverty and fairer relations between developed and developing countries.

§ **Objective 3: Support to actions aiming at achieving more efficient cooperation, foster synergies and facilitate a structured dialogue in the area of development between civil society networks and local authorities associations from the EU and acceding countries, within their organisations and with EU institutions.**

Regulation (EC) n° 1905/2006[1] of the European Parliament and of the Council (OJ L 378, 27 December 2006), establishing a financing instrument for development cooperation, and more specifically its article 14 constitute the legal basis for this thematic programme.

1.2 OBJECTIVES AND PRIORITIES OF THIS CALL FOR PROPOSALS

Objectives

Under objective 3 of the NSA&LA thematic programme, the general objectives of this call for proposals are to support actions aiming at achieving a more efficient cooperation, increased synergies and a more structured dialogue between Non-State Actors (and possibly Local Authorities) from the EU and acceding countries2 and/or between European or international networks/platforms of Non-State Actors and EU institutions.

Priorities

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[1] Available at the following address: http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/documents/dci_en.pdf. The Strategy Paper 2007 – 2010 is available at http://ec.europa.eu/europeaid/what/civil-society/documents/nsa_la_strategy_paper_2007_2010_en.pdf while the Annual Action Programme for the programme "Non-State Actors and Local Authorities in Development" will be made available upon its adoption in the following address: http://ec.europa.eu/europeaid/work/ap/aap/2010_en.htm

[2] The Strategy Paper 2007 – 2010 for the programme "Non-State-Actors and Local Authorities in Development" foresees for this component also actions in acceding countries. However, at this stage none of the accession candidate countries has signed an Accession Treaty and it is therefore not possible to foresee Actions in these countries in the framework of the present Call for Proposals.

In order to support the development and consolidation of dialogue between involved organisations and between these organisations and EU institutions, the priority will be given to:

§ Information networks, capitalisation and exchange of best practices within and among organisations/networks;

§ Dialogue and underscoring of complementarities between different types of stakeholders, including between NSA and LA.

§ Interaction of those organisations and networks with the EU institutions

More precisely and in line with the Aid effectiveness Agenda (in particular Articles 13 & 20 of the Accra Agenda for Action3), this call for proposal will support principally actions aiming at:

§ Strengthening existing NSA networks and platforms, in particular their capacity to build trans-national alliances, to capitalise and to disseminate best practices in the area of development;

§ Supporting organizations whose objective is to structure their actions to create formal or informal networks aiming at strengthening their capacity and increasing their interaction;

§ Enhancing the collaboration and the dialogue between representative international networks/platforms and EU institutions, as well as member states in the framework of a harmonised approach of EU.

Considering the objectives of this call for proposals, multi-actor partnership is obligatory. For actions taking place in more than one EU Member State, partnership and close cooperation with (a) clearly identified partner organisation(s) established in the other Member State(s) is obligatory.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION

The overall indicative amount made available under this Call for Proposals is EUR 3.026.000, to be financed by budget line 21 03 01 "Non-State Actors in development".

Allocation of this amount is subject to approval of the 2010 Annual Action Programme of the NSA&LA thematic programme by the Budgetary Authority and to the subsequent Commission decision, which should be adopted in the first semester of 2010.

Budget line 21 03 01 will, as a rule, only finance actions **proposed by Non-State Actors.**

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

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

Size of grants

Any grant awarded under this programme must fall between the following minimum and maximum amounts:

- minimum amount: EUR 100.000
- maximum amount: EUR 1.000.000

[3] http://www.oecd.org/dataoecd/58/16/41202012.pdf

As a general rule, the co-financing may not exceed **75.00 %** of the total eligible costs of the action.

Nevertheless, for actions proposed by Non-State Actors from **the member states which joined the EU in 2004 and 2007** (EU 12), the grant may raise to 90% of the action total eligible costs.

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 Fund.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this call, in conformity with the provisions of the Practical Guide to contract procedures for EU external actions.

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

The aforementioned Practical Guide and the Glossary can be consulted at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm

In addition to the Glossary, the following definitions apply to the present guidelines:

Partnership	the grouping of organisations, i.e. the main applicant and its partners, for the purpose of implementing the proposed action
Applicant	the lead organisation responsible for submitting the application
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
Subcontractor	organisation identified and contracted by the beneficiary or its partner(s) in accordance with the appropriate procedures in order to execute specific tasks in implementing the action
Re-granting	financial support (sub-grants) that can be given to third parties by the beneficiary of the EU grant where the implementation of the action so requires, subject to the conditions laid down in Article 120 of the Financial Regulation applicable to the general budget of the EU and the Article 184bis of the Rules for the implementation of the Financial Regulation[4]

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicants which may request a grant (2.1.1), and their partners (2.1.2),
- actions for which a grant may be awarded (2.1.3),
- types of cost which may be taken into account in setting the amount of the grant (2.1.4).

2.1.1 Eligibility of applicants: who may apply?

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

- be legal persons **and**

[4] http://www.ec.europa.eu/budget/documents/financial_regulation_en.htm

- be non- profit making **and**
- be Non-State Actors (NSA)[5] constituted in accordance with the legislation in force in the country concerned. NSA must have been registered for at least three years at the time of the submission of an application (as far as organisations from EU 12 are concerned, this legal existence requirement can be reduced to two years), **and**
- be nationals[6] of a Member State of the European Union **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**

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

In Part B, section V 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

Eligibility of partners (NSA & LA)

Applicants' partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant Beneficiary. They must therefore **satisfy the same eligibility criteria as applicants**, with the exception that there is no minimum time limit with regard to the registration of the organisation.

Eligibility of partners from developing countries

Partners from developing countries should play an active part in the action where appropriate. They must satisfy the following eligibility criteria:

- be non profit making **and**
- be NSA[7] or LA (or associations of LA) constituted in accordance with the legislation in force in the country concerned.

They participate in the design and implementation of the action, and the costs they incur are eligible in the same way as those incurred by the grant Beneficiary or its EU partners.

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[5] Non-State Actors include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations.

[6] For NSA the nationality is 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 organisation, even if it is registered locally or accompanied by a "Memorandum of Understanding".

[7] See footnote nr 6

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 III - "Associates of the applicant participating in the action" of the Grant Application Form.

- Subcontractors

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the Standard Grant Contract (see Annex F in section 3 of the present guidelines).

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

2.1.3 Eligible actions: actions for which an application may be made

Definition:

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

Types of actions

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

Actions will mainly cover capacity building and networking activities such as seminars, workshops, training sessions, conferences etc.

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

Duration

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

Location

Actions must take place in one or more EU Member States. If duly justified by the nature of the action, certain project activities may take place in other countries, in particular in developing countries, provided that these activities constitute only a minor part of the Action and that they contribute directly to the objectives of the programme.

Visibility

Applications should include a communication and visibility plan both in the Full Application and the budget in line with the Communication and Visibility Manual for EU External Actions:
http://ec.europa.eu/europeaid/work/visibility/index_en.htm

Monitoring and Evaluation

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

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

Re-granting

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

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

The maximum amount for a sub-grant per third party is limited to EUR 10.000 while the total amount which can be awarded in the form of sub-grants to third parties is limited to EUR 100.000.

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

At the reporting stage detailed financial and narrative information has to be supplied with regard to the activities covered by the sub-grants.

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 supporting directly political parties;
- actions including proselytism activities;
- one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the life-time of the action. For these purposes, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such "wider activities";
- actions which consist exclusively or primarily in capital expenditure, such as land, infrastructure, equipment and resources;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin.

Number of proposals per applicant

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

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

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

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

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the European Commission to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of 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 respect the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex F to the present guidelines).

Contingency reserve

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

Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the total eligible direct costs.

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

Contributions in kind

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

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

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

Ineligible costs

The following costs are not eligible:

– debts and provisions for losses or debts;

– interest owed;

– items already financed in another framework;

- purchases of land or buildings;

- office rent, unless applicant can demonstrates that additional and specific office rental is necessary for the purpose of the action implementation;

- currency exchange losses;

- taxes, including VAT, unless the beneficiary (or the beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes;
  NB: The Regulation (EC) No 1905/2006 of the European Parliament and of the Council establishing a financing instrument for development cooperation (OJ L 378, 27.12.2006), does not allow Community assistance to be used for paying taxes, duties or charges in beneficiary countries

- credits to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

This is an open Call for Proposals. **Applications must include both a Concept Note and a Full Application Form.** In the first instance, only the Concept Notes will be evaluated. Thereafter the Full Application Forms corresponding to the pre-selected Concept Notes will undergo evaluation.

Prior registration in the PADOR system (Potential Applicant Data On-Line Registration) is **obligatory both for applicants and partners**: http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

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 as well as for checking the eligibility of the organisations that participate in calls for proposals. This data concerns the organisation itself, and it is not linked to a particular project proposal.

Applicants must complete all the sections presented in PADOR with the exception of the section "Strategy and Methodology". Partners must complete all PADOR sections with the exception of the sections "Board of Directors" and "Strategy and Methodology". All the required supporting documents for both applicants and partners (see section 2.4 below) should be uploaded in PADOR by the Grant Application Form submission deadline. The EuropeAid ID number (assigned upon completion of the registration process in PADOR) of the applicant organisation as well as that of any partner organisation must be indicated in the Grant 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, where PADOR registration is objectively impossible the applicant can submit a request for derogation concerning its registration in PADOR and/or that of any partner(s). In this case, it is compulsory for the applicant and/or the partner(s) concerned to complete the PADOR Derogation Pack (Annexes HA and HB to these Guidelines) and to send it together with the Grant Application Form to the e-mail address indicated in section 2.2.2. of the Guidelines.

The justification for derogation must be based on the objective impossibility of the applicant and/or its partner(s) to register in PADOR. This objective impossibility should go beyond the control of the applicant and/or its partner(s) and, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant and/or its partner(s) themselves). The applicant should provide, where possible, supporting documents substantiating its request. Any derogation granted will apply only to the specific call for proposals in the context of which it was requested. If derogation is granted, registration in PADOR shall be initiated by the European Commission. If, at a later stage, the organisation wishes to update its data itself, an access request will have to be sent to the PADOR help desk at the address indicated hereafter.

All questions related to the registration in PADOR should be addressed **to the PADOR help desk:** europeaid-on-line-registration-hd@ec.europa.eu

2.2.1 Grant Application Form

Applications must be submitted using the application documents annexed to the present Guidelines (Annex A - Grant Application Form (Parts A and B), Annex B - Budget and Annex C - Logical Framework). These are to be downloaded from the EuropeAid website at:
https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome)

Budgetary information concerning the action should be provided without decimals and be presented only in the Budget (Annex B).

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

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

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

Applicants should keep strictly to the format of the Application Form and fill in the paragraphs and pages in order taking care to use the correct application documents for this Call. Applications submitted on application documents relating to any other call may be **rejected**.

Applications may be presented in one of the following languages: English, French, Spanish or Portuguese.

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

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

Hand-written applications will be **rejected**.

Each component of the application (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 Grant Application Form and the published annexes (Budget, Logical Framework) which must be filled in 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, unless a derogation to PADOR registration is being requested[8].

2.2.2 Where and how to send the Applications

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

EuropeAid-COORD@ec.europa.eu

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

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

[8] See Annex H to these Guidelines

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

Applications sent by other means (registered mail, courier service, fax, hand delivery, etc.) may be rejected.

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

2.2.3 Deadline for submission of Applications

The deadline for the submission of applications is **14 June 2010 at 24:00 hrs** (Brussels date and time).

Applicants are strongly advised **not to wait until the last day** to submit their application, 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 application sent after the deadline will be rejected.

2.2.4 Further information for the Applications

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

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

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

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

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

All questions related to PADOR registration should be addressed **to the PADOR help desk:** europeaid-on-line-registration-hd@ec.europa.eu

2.3 EVALUATION AND SELECTION OF APPLICATIONS

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

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

(1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK

The following will be assessed:

- The deadline has been respected. If the deadline has not been respected the proposal will automatically be **rejected**.
- The Grant Application Form satisfies all the criteria mentioned in the Checklist (Part B, section IV of the Grant Application Form). If any of the requested information is missing or is incorrect, the proposal may be rejected on that **sole** basis and the proposal will not be evaluated further.

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

The European Commission reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when the quantity of proposals received is limited) and to proceed directly to the evaluation of the corresponding Full Applications.

(2) STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes will cover the relevance of the action, its merits and effectiveness, its viability and sustainability.

The scores awarded to the Concept Note are completely separate from those that may be given to the Full Application.

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, Part A of the Grant Application Form.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

	Scores	
1. Relevance of the action	Sub-score	15
1.1 Relevance of the proposal to the needs and the potentials of the stakeholders involved (applicant, partner(s), other actors).	5	
1.2 Relevance to the priorities and objectives mentioned in the Guidelines	5(x2)*	
2. Effectiveness and Feasibility of the action	Sub-score	25

2.1 Assessment of the identification of the needs/potentials	5	
2.2 Assessment of the proposed activities (practicality and consistency in relation to the objectives, purpose and expected results)	5(x2)*	
2.3 Assessment of the role and involvement of all stakeholders	5(x2)*	
3. Sustainability of the action	Sub-score	10
3.1 Assessment of the identification of the main assumptions and risks, before the start up and throughout the implementation period	5	
3.2 Assessment of the long-term sustainable impact on the stakeholders involved	5	
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, taking into account the indicative financial envelope foreseen.

Firstly, only the Concept Notes which have been given a score of a minimum **of 12 points in the category "Relevance" as well as a minimum total score of 30 points will be considered for pre-selection.**

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to at least twice the available budget for this Call for proposals, taking into account the indicative financial envelope foreseen. Subsequently, the Full Application Forms corresponding to the pre-selected Concept Notes will be evaluated.

(3) STEP 3: EVALUATION OF THE FULL APPLICATION

An evaluation of the quality of the proposals, including the proposed budget, and of the capacity of the applicant and the partners, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;

- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant.

The award criteria allow the quality of the proposals submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of proposals which the European Commission can be confident will comply with its objectives and priorities and guarantee the visibility of the EU financing. They cover such aspects as the 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 partners (if any) have sufficient **experience of project management**?	5
1.2 Do the applicant and partners have sufficient **technical expertise**? (notably knowledge of the issues to be addressed) *Note: A score of **one point only** will be allocated if **applicants** (NSA) have not carried out activities in the field of development covered by this Call during at least the last three years for EU 15 and two years for EU 12 (independently of partners' expertise).*	5
1.3 Do the applicant and partners have sufficient **management capacity**? (including staff, equipment and ability to handle the budget for the action)	5
1.4 Does the applicant have stable and sufficient sources of **finance**?	5
2. Relevance	**25**
2.1 How relevant is the proposal to the **objectives** and one or more of the **priorities** of the call for proposals? In particular enhancing the collaboration and the dialogue between representative supranational networks/platforms and EU institutions	5 (x 2)*
2.2 How relevant to the particular **needs and potentials** of the stakeholders involved is the proposal?	5
2.3 How clearly defined and strategically chosen are those involved (all stakeholders concerned by the action – applicant, partner(s), other actors)? Have their **needs** been clearly defined and does the proposal address them appropriately?	5 (x 2)*
3. Methodology	**25**
3.1 Are the **activities** proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 How coherent is the overall design of the action? (in particular, does it reflect the analysis of the needs and the potentials of the stakeholders involved, take into account external factors and anticipate an **evaluation**?)	5
3.3 Is the **stakeholders' level of involvement and participation in the action** satisfactory? Note: *For actions taking place in more than one EU Member State, a score of one point only will be allocated to applicants if they cannot demonstrate partnership and close cooperation with (a) clearly identified partner organisation(s) established in the other Member State(s).*	5
3.4 Is the **action plan** clear and feasible?	5
3.5 Does the proposal contain **objectively verifiable indicators** for the outcome of the action?	5
4. Sustainability	**15**
4.1 Is the action likely to have a tangible **impact** on the stakeholders involved?	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 *(how will the activities be financed after the funding ends?)* - institutionally *(will structures allowing the activities to continue be in place at the end of the action? Will there be "ownership" of the results of the action?)* - at policy level (where applicable) *(what will be the structural impact of the action — e.g. will it lead to better codes of conduct, methods, synergies etc?)*	5

5. Budget and cost-effectiveness	**15**
5.1 Is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure **necessary** for the implementation of the action?	5 (x 2)*
Maximum total score	**100**

*the scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity:
If the total average score is less than 12 points for section 1, the proposal will be **rejected**.

Note on Section 2. Relevance:
If the total average score is less than 20 points for section 2, the proposal will be **rejected**.

Provisional selection

Following the evaluation, a table listing the proposals ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria, taking into account the financial envelope foreseen.

Note: The scores awarded in this phase are completely **separate** from those that could have been given to the Concept Note of the same application.

(4) STEP 4: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

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

- The Declaration by the applicant (part B, section V of the Grant Application Form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to **the rejection of the proposal** on that sole basis.

- The eligibility of the applicant, the partners, 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 proposal will be replaced by the next best placed proposal in the reserve list that falls within the available financial envelope, which will then be examined for the eligibility of its applicant, the partners and the action.

2.4 SUBMISSION OF SUPPORTING DOCUMENTS

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

All required supporting documents **for both applicants and partners** for this Call for Proposals **must be uploaded** in the PADOR system. The deadline for uploading them in the system is the same as the deadline for submission of the Grant Application Form (see section 2.2.3).

If derogation from the obligation to register in PADOR is being requested (see section 2.2), the applicant or partner requesting derogation from the obligation to register in PADOR **must, in any case, send all** required supporting documents for this Call for Proposals to the address indicated in Section 2.2.2 together with the **Grant Application Form and the PADOR derogation Pack.**.

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

Required supporting documents:

1. For Non-State Actors as applicants:

- The **statutes or articles of association** of the **applicant organisation**. Such documents must prove that the organisations in question meet all the eligibility criteria indicated in section 2.1.1 (i.e. legal existence, non-profit making, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when derogation from registration in PADOR is being requested, must be sent together with the supporting documents

- Where the grant requested exceeds EUR 500.000, an **external audit report** of the applicant organisation produced by an approved auditor, certifying the accounts for the last financial year available.

- 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).[9]

- **Legal entity sheet** (see annex D) duly completed and signed **by the applicant**, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the European Commission, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.

2. For Non-State Actors (or associations of LA) as partners:

The **statutes or articles of each partner organisation**. Such documents must prove that the organisations in question meet all the eligibility criteria indicated in section 2.1.2 (i.e. legal existence, category of organisation, non-profit making and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when derogation from registration in PADOR is being requested, must be sent together with the supporting documents.

[9] This obligation does not apply when the accounts are in practice the same documents as the external audit report.

3. For Local Authorities (only eligible as partners) [10]

A copy of an official document recognizing the organisation as local authority in accordance with the national law.

Requirements for all supporting documents:

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

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 where applicable the partners' eligibility, must be uploaded into PADOR in the same electronic file as the original language version (or, in the case of derogation from PADOR registration is being requested, be sent with the supporting documents) and will prevail for the purpose of analysing the proposal.

Where these documents are in an official language of the European Union other than one of 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 or the partners' 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, in the case of derogation from PADOR registration is being requested, be sent with the supporting documents).

[10] Associations of Local Authorities must supply the same supporting documents as those required for NSA.

2.5 NOTIFICATION OF THE EUROPEAN COMMISSION'S DECISION

2.5.1 Content of the decision

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

Applicants who were unsuccessful at the **Opening and Administrative Check stage of the procedure** (Step 1) or **at the Eligibility check stage** (Step 4) wishing to obtain further information should send their request by letter, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

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

Applicants who were unsuccessful **at the technical evaluation stages of the procedure** (Step 2 or Step 3) wishing to obtain further information should send their request, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission
EuropeAid Co-operation Office
Unit F1 –Relations with civil society, centralised management of thematic budget lines NSA-LA of the DCI and coordination
Attn. Head of Sector "Relations with civil society"
Office L-41 2/154
B-1049 Brussels
Belgium

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

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

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

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

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

2.5.2 Indicative time table

The indicative calendar will be published on EuropeAid's website
https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome
and will be updated in the course of the evaluation procedure.

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

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

Implementation contracts

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

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

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

- Commission decision (2008/969/EC, Euratom) of 16 December 2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L.344, 20.12.2008, p.125);

- Commission Regulation (2008/1302/EC, Euratom) of 17 December 2008 on the central Exclusion database – CED (OJ L 344, 20.12.2008, p.12).

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

3. LIST OF ANNEXES

Documents to fill in:

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)

Annex D: Legal entity sheet (Excel format), - See documents **E3e** at:
http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

Documents for information:

Annex E: Financial identification form - See document **E3f** at
http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

Annex F: Standard Contract (Word format)- See documents from **E3h_1 to E3h_9** at
http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

E3h_1 - Special Conditions
E3h_2 - Annex II: General conditions applicable to European community-financed grant contracts for external actions
E3h_3 - Annex IV: Contract award procedures
E3h_4 - Annex V: Standard request for payment and financial identification form
E3h_5 - Annex VI: Interim narrative report
E3h_6 - Annex VI: Final narrative report
E3h_7 - Annex VI: Financial report
E3h_8 - Annex VII: Model report of factual findings and terms of reference for an expenditure verification of an EC financed grant contract for external actions
E3h_9 - Annex VIII: Model of financial guarantee (where applicable)

Annex G: Daily allowance rates (Per diem)
http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm

Annexes to be completed in case of request for derogation from PADOR registration

Annex HA: PADOR derogation pack - APPLICANT
Annex HB: PADOR derogation pack - PARTNER

ANNEX I: PROJECT CYCLE MANAGEMENT GUIDELINES ARE AVAILABLE AT
http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm