



Contracting Authority: Delegation of the European Union to Bangladesh

Non State Actors (NSA) and Local Authorities (LA) in Development-
Support to in-country interventions

Guidelines for grant applicants

Budget line 21.03.01

Restricted Call for Proposals 2010 (Budget 2010)

Reference: EuropeAid/130112/L/ACT/BD

Deadline for submission of proposals (Concept Notes): 08 July 2010

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. PROGRAMME: “NON-STATE ACTORS AND LOCAL AUTHORITIES IN DEVELOPMENT”- SUPPORT TO IN-COUNTRY INTERVENTIONS

1.1 BACKGROUND

The thematic programme “Non-State Actors and Local Authorities in Development” covers the following three main components:

- 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.
- 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.
- 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 Community institutions.

Regulation (EC) n° 1905/2006¹ 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 new thematic programme.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The goal of the Bangladesh Thematic Strategy for NSAs and Local Authorities in Development is to promote an inclusive and empowered society in Bangladesh through facilitating non-state actors and local authorities’ participation in poverty reduction and sustainable development strategies in Bangladesh.

The specific objectives of the country programme are:

- i. To support and enable the full participation of NSAs and LAs in achieving the MDGs in Bangladesh with particular reference to capacity building of local communities, organizations and elected authorities to ensure effective delivery of key services to local communities, including the poorest and most marginalized sectors of the population.
- ii. To support the role of NSAs in developing innovative approaches to the provision of social services, including public-private partnerships and de-centralised innovative methods. It is an “actor-oriented” programme aimed at strengthening the capacity of civil society organisations as a pre-condition for a more equitable, open and democratic society through support to their “own initiatives”.

Actions must correspond to at least one of the above three specific objectives and should always contain a significant element of capacity building geared towards local development actors, be it NSA or more informal groupings of beneficiaries. Therefore a participatory approach, empowering local communities, should be ensured.

This Call for Proposals is published with the aim of selecting projects which address the issues in line with the priorities identified below:

¹ Available at the following address: http://ec.europa.eu/europeaid/where/worldwide/civil-society/index_en.htm. The Strategy Paper 2007 – 2010 for the programme “Non-State-Actors and Local Authorities in Development” as well as the Annual Action Programme for 2007 are available at the same address.

- **enhance linkages, partnerships and networking between Non-State Actors and Local Authorities for improved delivery of services (including health and education) to the community, in particular to the poor and marginalised groups of the population in both urban and rural areas of Bangladesh;**
- **improve dialogue and cooperation between non state actors, private and public sector to respond to national development priorities as well as increase interaction between state and non state actors on different development issues;**
- **support the establishment and capacity building of NSAs networks to develop sustainable community based organisations with a focus on participation in democratic local governance;**
- **promote awareness building among local communities, CSOs and LAs on corruption and its impact on poverty and also capacity building of CSOs to fight against corruption;**
- **promote advocacy, awareness raising and capacity building activities for community based organisations, CSOs and LAs in areas of concern for the rights of the poor and marginalised people, such as land rights, decent work and labour rights, etc.**

Mainstreaming of cross-cutting issues contributing to the achievement of the global objective of poverty reduction, such as human rights, gender equality, children and older peoples' rights, rights of persons with disabilities and people belonging to minorities, disaster risk reduction, respect of the rule of law as well as fight against HIV/AIDS, should be ensured in projects. All projects need to show, whenever relevant, how these issues are taken into account in the design, implementation and monitoring of their activities. Principles such as empowerment, participation, non-discrimination of vulnerable groups and accountability will be adequately taken into account.

Every effort should be made to ensure that there is no overlap with the thematic priorities of other specific EU funding instruments for Bangladesh, such as Food Security, Food Facility, Investing in People, the European Instrument for Democracy and Human Rights (EIDHR) and Environment and Natural Resources Thematic Programme (ENRTP). Actions complementing EU funded geographic programmes in Bangladesh will have an added advantage.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The indicative global envelope allocated under this call for proposals under budget year 2010 amounts to € 4 000 000 for Non State Actors (BL 210301).

The granting of the above global amount is subject to the decision of the Budgetary Authority and the subsequent approval of the 2010 annual action plan by the Commission.

Size of grants

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

- minimum amount: 500 000 €
- maximum amount: 1 000 000 €

- For proposals submitted by Bangladeshi Non-State Actors, the grant may not exceed **90%** of the total eligible costs of the action (see also section 2.1.4). The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget or the European Development Fund.

- For proposals submitted by European Non-State Actors, the grant may not exceed **75%** of the total eligible costs of the action (see also section 2.1.4). The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund.

The Contracting Authority reserves the right not to award all available funds. 3% of this indicative amount of funds may be used by the European Commission for support measures accompanying the implementation of this programme such as training seminars and workshops, information sessions or special events to publicise the programme.

Where the financial envelopes given above cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to another country/ other countries thematic programme “Non-State Actors and Local Authorities in Development”.

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 EC external actions, which is applicable to the present call (available on the Internet at this address: http://ec.europa.eu/europeaid/work/procedures/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-State Actors (NSA)² constituted in accordance with the legislation in force in Bangladesh or NSA constituted in accordance with the legislation in force in the concerned EU member state. NSA from a Member State of the European Union must have been registered in any EU member state for at least three years at the time of the submission of an application. Bangladeshi NSA must have been registered with the NGO affairs Bureau or an appropriate Bangladesh authority for at least two years at the time of the submission of an application **and**
- be nationals³ of Bangladesh or 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**
- have minimum 2 - 3 years of experience in the fields of the proposed activities and demonstrate to have sufficient capacity to manage projects equal in size to that of the project for which a grant is requested under this call **and**

² 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.

³ 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”.

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Important: Local Authorities are not eligible to apply under this Call for Proposals but can be involved as **partners in the action**.

- (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 EC external actions (available from the following Internet address: http://ec.europa.eu/europeaid/work/procedures/index_en.htm);
- In Part A, Section III of the Grant Application Form ("Declaration by the applicant"), applicants must declare that they do not fall into any of those situations.

2.1.2 Partnerships and eligibility of partners

Applicants must act with partner organisations as specified hereafter.

Partners:

Working in partnership and in particular multi-actor partnerships are encouraged where these prove more effective in promoting increased citizen participation and local development.

For actions presented by European NSA, a partnership with a local actor is obligatory.

Local NSA may act individually or with partner organisations but Partnership with other local or European NSA or Local Authority will have a definite added advantage.

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.

In case of partnership, Local Authorities (LAs) need not to fulfill the same eligibility criteria as applicants as set out in Section 2.1.1 but Local Authorities should be officially registered according to the legislation in force in Bangladesh.

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 IV - "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).

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.

Duration

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

Sectors or themes

All proposed projects must clearly belong to **one or maximum two** of the priorities enumerated at section 1.2 of the present call for proposals, and their results must indisputably inscribe themselves within.

Location

Actions must take place in Bangladesh.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- 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 concerned only or mainly with individual scholarships for studies or training courses;
- actions in the formal education sector (apart from primary and vocational education), except in special circumstances;
- actions which consist exclusively or primarily of capital expenditure, e.g. land, buildings, equipment and vehicles, except in special circumstances;
- 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;
- actions supporting political parties;

Number of proposals and grants per applicant

An applicant can submit only one application under this Call for proposals.

An applicant cannot be awarded more than one grant under this call for proposals.

An applicant cannot at the same time be partner in another 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 co-financing as a result of these corrections may not be increased in any case.

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

Eligible direct costs

To be eligible under the Call for Proposals, costs must respect the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex F of the guidelines).

Contingency reserve

A contingency reserve not exceeding 5% of the 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 total eligible direct costs.

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

Contributions in kind

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

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

Notwithstanding the above, if the description of the action as proposed by the beneficiary foresees the contributions in kind, such contributions have to be provided.

Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- 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;
- taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes.
- credits to third parties

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

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

- Phase 1, The concept note: Registration in PADOR is obligatory for the applicants of grants above 25.000 €.

Registration is optional but recommended for:

- Applicants with grants of 25.000 € or lower
- The 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

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, the applicant can submit a request for derogation concerning its registration in PADOR. A reasoned request for derogation should be sent to the Contracting Authority at the address as indicated in these Guidelines 21 days before the deadline for submission at the latest. The Contracting Authority needs to reply at the latest 11 days before the deadline for the submission. The justification for a derogation must be based on the objective impossibility of the applicant to have access to the technology required to register in PADOR. This objective impossibility should go beyond the control of the applicant and, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant itself). The applicant should provide, where possible, supporting documents substantiating its request. The Contracting Authority shall reason its reply. The derogation applies to the applicant requesting the derogation and only in the context of a specific call for proposals, unless the Contracting Authority see grounds for a general derogation for that call for proposals. In this case, data will be introduced in PADOR by the European Commission. If, at a later stage, the organisation wishes to update itself its data, an access request is needed.

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 total costs of the action together with the amount of contribution and percentage 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. This detailed budget 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 of co-financing, as laid down in the present Guidelines, is respected.

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 II of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section III 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.

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

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 and Hand Delivery Address

**Delegation of the European Commission to Bangladesh
Plot# 7, Road #84
Gushan-2, Dhaka-1212
Bangladesh**

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 II 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 **08 July 2010** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In case of hand-deliveries, the deadline for receipt is 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 in addition be sent by e-mail no later than 21 days before the deadline for the submission of concept notes to the address below, indicating clearly the reference of the call for proposals:

E-mail address: Delegation-Bangladesh.NSA@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 or an action.

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?ADSSChck=1224846858672&do=publi.welcome&userlanguage=en> and also at the Delegation web site <http://www.delbgd.ec.europa.eu/> 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-on-line-registration-hd@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 contained in the concept note cannot be modified in the full application form. The detailed budget (please provide budget with round figures) may not vary from the initial estimate by more than 20%, while the applicant is free to adapt the percentage of co-financing required as far as the minimum and maximum amount of co-financing, as laid down in this application form, is respected.

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 (section V of Part B of the grant application form) or any major inconsistency in the full application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the full application form) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing the 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 and Hand Delivery Address

**Delegation of the European Commission to Bangladesh
Plot# 7, Road #84
Gushan-2, Dhaka-1212
Bangladesh**

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 2 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** proposal as the paper version.

The Checklist (Section V of part B of the grant application form) and the Declaration by the applicant (Section VI of part B of the grant application form) must be stapled separately and enclosed in the envelope.

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" in English and "নির্ধারিত সময়ের পূর্বে খোলা নিষেধ" in Bangla.

Applicants must verify that their application is complete using the checklist (section V 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 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: Delegation-Bangladesh.NSA@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 proposals.

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 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?ADSSChck=1224846858672&do=publi.welcome&userlanguage=en> and also at the Delegation web site <http://www.delbgd.ec.europa.eu/> 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.

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 SESSION AND ADMINISTRATIVE CHECK

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the proposal will automatically be rejected
- The Concept Note satisfies all the criteria specified in the Checklist (section II of part A 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 the opening session and the administrative check, 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 they have been recommended for further evaluation.

(2) STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action, its merits and effectiveness, its viability and sustainability. The Contracting Authority reserves the right to skip the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of proposals are received) and to directly send invitations to submit a full proposal.

Please note that the scores awarded to the Concept Note are completely separate from those 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.

	Scores	
1. Relevance of the action	Sub-score	15
1.1 Relevance of the problems to needs and constraints of the country/region to be addressed in general, and to those of the target groups and final beneficiaries in particular	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 problem identification and analysis	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 and, if applicable, proposed partners.	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 identification of long-term sustainable impact on the target groups and final beneficiaries.	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.

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 two times the available budget for this Call for proposals. The pre-selected applicants will subsequently be invited to submit full applications.

(3) STEP 3: EVALUATION OF THE FULL APPLICATION

OPENING SESSION AND ADMINISTRATIVE CHECK OF THE FULL APPLICATION FORM

OPENING SESSION AND ADMINISTRATIVE CHECK OF THE FULL APPLICATION FORM

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 V. 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.

Following the opening session and the administrative check, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, and whether their application has been recommended for further evaluation.

EVALUATION OF THE FULL APPLICATION

An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the applicant and his 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 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 and guarantee the visibility of the EU financing (see http://ec.europa.eu/europeaid/work/visibility/index_en.htm). They cover such aspects as the relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicant and, if applicable, partners have sufficient experience of project management ?	5
1.2 Do the applicant and, if applicable partners have sufficient technical expertise ? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and, if applicable, partners have sufficient management capacity ? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of finance ?	5
2. Relevance	25
2.1 How relevant is the proposal to the objectives and one or more of the priorities of the call for proposals? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least one priority . Note: A score of 5 (very good) will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality and equal opportunities...	5 x 2
2.2 How relevant to the particular needs and constraints of the target country/countries or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication.)	5

2.3 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 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 problems involved, take into account external factors and anticipate an evaluation ?)	5
3.3 Is the partners' and/or other stakeholders' level of involvement and participation in the action satisfactory?	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 its target groups?	5
4.2 Is the proposal likely to have multiplier effects ? (including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action sustainable : - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>)? - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	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

Note on Section 1. Financial and operational capacity

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

Note on Section 2. Relevance

If the total average score is less than 20 points for section 2, 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.

Note: The scores awarded in this phase are completely separate from those 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 Contracting Authority (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.

- The Declaration by the applicant (Section VI 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 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 and the partners.

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED PROPOSALS

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:⁴

Supporting documents must be provided through PADOR, see section 2.2

1. The statutes or articles of association of the applicant organisation⁵ 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), unless a change in its legal status has occurred in the meantime.⁶
2. Where the grant requested exceeds EUR 500 000, an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.
3. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)⁷.
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.
6. Certificate of Registration as indicated under section 2.1.1

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 or in the language of the country where the action is implemented, 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.

⁴ No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

⁵ 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

⁶ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

⁷ This obligation does not apply when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

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

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.

2.5.2 Indicative time table

	DATE	TIME*
Information meeting	15/06/2010	9.00 hrs
Deadline for request for any clarifications from the Contracting Authority	18/06/2010	16.00 hrs
Last date on which clarifications are issued by the Contracting Authority	28/06/2010	16.00 hrs
Deadline for submission of Concept Notes	08/07/2010	16.00 hrs
Information to applicants on the opening & administrative check	01/08/2010*	-
Information to applicants on the evaluation of the Concept Notes	30/09/2010*	-
Invitations for submission of Full Application Form	07/10/2010*	-
Deadline for submission of Full Application Form	21/11/2010*	-
Information to applicants on the evaluation of the Full Application Form	05/01/2011*	-
Notification of award (after the eligibility check)	06/02/10/2011*	-
Contract signature	13/03/2011*	-

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

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 contract (see Annex F of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the Standard Contract.

Implementation contracts

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

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

ANNEX E: FINANCIAL IDENTIFICATION FORM

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD 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 G: DAILY ALLOWANCE RATES (PER DIEM), available at the following address:

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

PROJECT CYCLE MANAGEMENT GUIDELINES

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