



**Contracting Authority:** European Commission

Raising public awareness of development issues and promoting  
development education in the European Union

**Guidelines for grant applicants**

Budget lines BGUE 21.020801 and 21.020802

Development Cooperation Instrument

Reference:

EuropeAid/151103/C/ACT/MULTI

Deadline for submission<sup>1</sup> of concept notes:

**01/06/2016 at 16:00 (Brussels date and time)**

(in order to convert to local time click [here](#)<sup>2</sup>)

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<sup>1</sup> Online submission via PROSPECT is mandatory for this call for proposals (see Section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except for public holidays). Applicants should take note of the weekly maintenance hours mentioned in the PROSPECT user manual.

<sup>2</sup> An example of a time converter tool available online: <http://www.timeanddate.com/worldclock/converter.html>

## NOTICE

This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application. After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed 'declaration by the lead applicant' sent together with the full application.

We draw the attention to Article 6.5. of the "General Conditions" (Annexe G to the present Guidelines), which stipulates that the purpose, duration, location and maximum amount of the grant together with the name and address of the beneficiaries (i.e. including the lead-applicants, co-applicants and affiliated entities if any) will be published. Derogation from publication of this information may be granted if it could endanger the beneficiary/ies or harm their interest.

### Online submission via PROSPECT

**To apply to this call for proposals organisations must register in PADOR and submit their application in PROSPECT (see section 2.2.2 of the guidelines).** The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to CSOs through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application.

**All organisations can find the e-learning and the PROSPECT users' manual in the Useful Links section of these Guidelines (last page). You may also contact our technical support team via the online support form in PROSPECT<sup>3</sup>.**

These guidelines are published in English and French. In case of any discrepancy between the linguistic versions of this call, the English version will prevail, being the official version. The Guidelines in French are not official versions and have been made available to the applicants to facilitate their submission.

**A functional mailbox specifically dedicated to this call has been set up:**

**[EuropeAid-151103@ec.europa.eu](mailto:EuropeAid-151103@ec.europa.eu)**

**It shall be used exclusively for sending clarification requests within the deadlines set in paragraph 2.2 of these guidelines, No other functional mailbox will be used. The Contracting Authority reserves the right to close this mail box without prior notice once this call for proposals is closed and not to reply to requests which do not fall under one of the afore-mentioned category.**

**Concept notes or full applications submitted via this mailbox will not be considered.**

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<sup>3</sup> If PROSPECT is unavailable, the IT support can also be reached via email: [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu)

# **IMPORTANT**

Even though the verification of eligibility is foreseen to be carried out only for the provisionally selected applicants at the end of the procedure, the Evaluation Committee may decide to verify this point at any previous step of the procedure. Consequently, any proposal found to be non-compliant with all the mandatory conditions set in these guidelines can be automatically rejected on that sole basis, at any stage of the procedure and without any prior notice or clarification request. Applicants are therefore strongly advised to fill in scrupulously the "Check List for Concept Note" (Annex A1) and the "Checklist for the Full Application form" (Annex A.2.). Any missing supporting document or any incoherence between the declarations and the supporting documents may lead to the rejection of the proposal on that sole basis.

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# 1 RAISING PUBLIC AWARENESS OF DEVELOPMENT ISSUES AND PROMOTING DEVELOPMENT EDUCATION IN THE EUROPEAN UNION

## 1.1 BACKGROUND

The Development Education and Awareness Raising (DEAR) programme aims to anchor awareness and understanding of global development in our societies. It highlights the universal responsibilities of all individuals, Civil Society Organisations (CSOs)<sup>4</sup>, Local Authorities (LAs)<sup>5</sup>, governments and other development actors, to contribute to sustainable and inclusive development.

It supports the active engagement of the European public, through initiatives designed and led by CSOs and LAs, in global attempts to eradicate poverty, promote justice, human rights and democracy, social responsibility, gender equality and sustainable development strategies in partner countries<sup>6</sup>. It contributes to the enhancement of the public's critical understanding of the interdependent world, and of their roles and responsibilities in a globalised society. It can offer a timely support on sensitive global issues such as migration or gender equality.

The EU DEAR Action will contribute to the Policy Coherence for Development (PCD) by educating and engaging the public on development issues and raising awareness on how EU Member States and EU policies can have an impact on development outcomes in partner countries. It supports pan-European initiatives and encourages cooperation and the exchange of best practices.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **main objective** of this Call for Proposals is to promote development education and raise public awareness on development and cooperation policies.

The **specific objective** of this call for proposals is to provide support for and promote quality development education and awareness raising among the European public. The proposed projects must foster a growing awareness and critical understanding of the role, responsibility and lifestyles of the public in relation to an interdependent world. It should motivate their effective involvement in local and global Actions in support of the social, economic, and environmental dimensions of sustainable development.

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<sup>4</sup> CSOs are non-State, non-profit making actors operating on an independent and accountable basis which include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, diaspora organisations, migrants' organisations in partner countries, local traders' associations and citizens' groups, cooperatives, employers associations and trade unions (social partners), 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, environmental, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations, likely to contribute to the implementation of the objectives of the DCI Regulation.

<sup>5</sup> The term "Local Authorities" refers to public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. The term encompasses different tiers of government, e.g. villages, municipalities, districts, counties, provinces, regions, etc.

<sup>6</sup> <http://www.oecd.org/dac/stats/documentupload/DAC%20List%20of%20ODA%20Recipients%202014%20final.pdf>

**This Call contains four lots:**

**Lot 1: Global learning education and campaigning and advocacy projects led by a Civil Society Organisation (CSO) or an association of CSOs, from EU member states.**

- Option 1 – Global learning education
- Option 2 – Campaigning and advocacy

The types of projects covered by this Lot are further detailed under "Types of Action" in section 2.1.4.

**Lot 2: Global Learning education and campaigning and advocacy projects led by a CSO or an association of CSOs from EU 13 member states**

- Option 1 - Global learning education
- Option 2 - Campaigning and advocacy

The types of projects covered by this Lot are further detailed under "Types of Action" in section 2.1.4.

**Lot 3: Financial support to third parties – led by a CSO or an association of CSOs from EU member states.**

The main purpose of this lot is financial support to third parties. The organisations selected under this lot will be responsible for operational and financial supervision of third party actions. They will provide accessible and flexible funding for third party projects contributing to the general and specific objectives of the Call for Proposals. The options remain the same as for the other lots.

- Option 1 - Global learning education
- Option 2 - Campaigning and advocacy

The types of projects covered by this lot are further detailed in Annex X and "Types of Action" in section 2.1.4.

**Lot 4: Global Learning education and campaigning and advocacy projects led by a Local Authority or Association of LAs, from EU member states.**

- Option 1 - Global learning education
- Option 2 - Campaigning and advocacy

The types of projects covered by this lot are further detailed under "Types of Action" in section 2.1.4.

**Applicants must clearly specify under which lot and option they are submitting the application in their project title. The focus of the Action must be on the objectives of the selected lot. However, an Action may contain elements from the other option.**

## **Priorities**

Proposals must address the following priorities. Proposals must clearly indicate and explain how they address the priorities. This will be assessed under point 1.2 of the Concept Note evaluation grid. **A proposal which does not clearly address the priorities of the Action may be rejected on this sole basis.**

1. **Under lot 1, 2 and 3**, proposals will contribute to the pursuit of one or more of the Sustainable Development Goals (SDG)<sup>7</sup> approved in September 2015 by the United Nations Member States. They should also facilitate the contribution of the European public to development work in line with the universality principle defined in the SDG's.

**Under lot 4** proposals must address at least two priorities among the ones listed here below:

- **SDG-Goal 5** - Achieve gender equality and empower all women and girls

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<sup>7</sup> <http://www.un.org/sustainabledevelopment/sustainable-development-goals/>

- **SDG-Goal 11** - Make cities and human settlements inclusive, safe, resilient and sustainable
- **SDG-Goal 13** - Take urgent Action to combat climate change
- **SDG-Goal 16** - Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels
- **Localising SDGs at City Level**<sup>8</sup>

**AND,**

2. **For all** lots, proposals must focus on interdependencies between developing countries<sup>9</sup> and the European Union, and seek to build public understanding of global public goods and challenges (such as sustainable energy, food security, human development, and sustainable agriculture,). A particular emphasis is expected on issues related to **migration, climate change, and gender equality**.

#### **Expected results**

- increased public awareness of global interdependencies between the European Union and developing countries;
- increased public awareness of the global agenda on development, including the Sustainable Development Goals, the Paris Agreement<sup>10</sup> and Habitat III.
- Increased public awareness of the role of EU development cooperation;
- changing attitudes and improved public understanding of issues and difficulties facing developing countries and their peoples, in particular migration;
- increased active engagement of the European public in major development debates and attempts to eradicate global poverty, promote justice, human rights, gender equality and sustainable ways of living;
- better integration of development issues into formal and non-formal education systems in EU Member States;
- higher level of engagement to promote coherence for development<sup>11</sup>;
- increased coordination, cohesion and coherence of development education on the European level and at EU Member State level;
- Increased engagement of LAs and associations of LAs in development education and awareness raising.

All Actions shall be based on an initiative of a CSO, an association of CSO, a LA or an Association of LAs from one of the Member States where the Action takes place. This CSO, association of CSO, LA or ALA shall be involved in all stages of the implementation of the Action.

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<sup>8</sup> 'Localizing' the Post-2015 agenda often refers to the implementation of the goals at local level by sub-national actors, particularly local and regional governments. <http://www.gt2016.org/#!/Localization-on-the-table-in-process-to-define-indicators-for-the-Post2015-Agenda/cjtl/559d54ba0cf23c3562fd946a>

<sup>9</sup> Please see footnote 06

<sup>10</sup> [http://ec.europa.eu/clima/policies/international/negotiations/future/index\\_en.htm](http://ec.europa.eu/clima/policies/international/negotiations/future/index_en.htm)

<sup>11</sup> [https://ec.europa.eu/europeaid/policies/policy-coherence-development\\_en](https://ec.europa.eu/europeaid/policies/policy-coherence-development_en)

### **1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

The overall indicative amount made available for this CfP is specified in the Multi-Annual Action Programme (MAAP) 2015-2017<sup>12</sup>, adopted in 2015. The amount made available under this call for proposals is EUR 92,950,000. The total allocation for CSOs is EUR 75,050,000. The total allocation for LAs is EUR 17,900,000. "Please note that the overall indicative amount made available under this Call for Proposals, and as indicated in point 1.3 of these Guidelines, is a combination of EU general budget for CSO LA. 2017 Funds are pending further confirmation of 2017 budget availability."

#### **Indicative allocations of funds by lot and budget year:**

##### **Lot 1 Global Learning Education and Campaigning and Advocacy led by a Civil Society Organisation (CSO) or an association of CSOs, from EU member states**

Total available EUR 45,030,000

EUR 15,060,000 (from budget year 2016)

EUR 29,970,000 (from budget year 2017)

##### **Lot 2 Global Learning Education and Campaigning and Advocacy led by a Civil Society Organisation (CSO) or an association of CSO from EU 13 member states:**

Total available EUR 15,010,000

EUR 5,020,000 (from budget year 2016)

EUR 9,990,000 (from budget year 2017)

##### **Lot 3 Financial Support to Third Parties:**

Total available EUR 15,010,000

EUR 5,020,000 (from budget year 2016)

EUR 9,990,000 (from budget year 2017)

##### **Lot 4 Global Learning education and campaigning and advocacy projects led by a Local Authority or Association of LAs, from EU member states:**

Total available EUR 17,900,000 (exclusively under Budget year 2017)

For lots 1, 2, 3, if the above-mentioned indicative amounts cannot be used due to insufficient quality or number of proposals received, the Contracting Authority could reallocate the remaining funds to another one of these lots. Since funds from lot 4 come from a different budget line, no reallocation is possible neither from lot 4 to the other lots, not from the other lots to lot 4.

The Contracting Authority reserves the right not to award all available funds. Likewise, this amount could be increased should more funds become available.

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<sup>12</sup> [http://ec.europa.eu/europeaid/sites/devco/files/commission-decision-cso-las-maap-30062015\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/commission-decision-cso-las-maap-30062015_en.pdf)

## Size of grants

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

### Lot 1 (Education and awareness raising):

- minimum amount: EUR 3,000,000
- maximum amount: EUR 7,000,000

### Lot 2 (EU13):

- minimum amount: EUR 750,000
- maximum amount: EUR 7,000,000

### Lot 3 (Financial support to third parties):

- minimum amount: EUR 3,000,000
- maximum amount: EUR 7,000,000

### Lot 4 (LA):

- minimum amount: EUR 1,000,000
- maximum amount: EUR 7,000,000

Any grant requested under this Call for Proposals may not exceed the following maximum percentages of total eligible costs of the Action:

- Maximum percentage 90% of the total eligible costs of the Action for all lots (see also section 2.1.5).

The balance (i.e. the difference between the total cost of the Action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>13</sup>.

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

## 2 RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the Actions financed under this call, in conformity with the Practical Guide (PRAG), which is applicable to the present call (available at <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **lead applicant**, i.e. the entity submitting the application form (2.1.1),
- if any, its **co-applicant(s)** (**where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as "applicant(s)"**) (2.1.1),
- and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s). (2.1.2);
- The third parties (only for lot 3, see Annex X)

(2) the Actions:

- Actions for which a grant may be awarded (2.1.5);

(3) the costs:

- types of cost that may be taken into account in setting the amount of the grant (2.1.6).

#### **2.1.1 Eligibility of applicants (i.e. lead applicant and co-applicant(s))**

##### **Lead applicant**

(1) **Under lot 1, 2, 3**, in order to be eligible for a grant, the **lead** applicant must:

- be a legal person **and**
- be non-profit-making **and**
- be a Civil Society Organisation (CSO) or an association of CSO **and**
- be established in<sup>14</sup> a Member State of the European Union **and**
- be directly responsible for the preparation and management of the Action with the co-applicants and affiliated entity(ies), not acting as an intermediary.
- be able to demonstrate to have carried out activities in the field of development awareness raising and education for at least three years.
- be established in an EU 13<sup>15</sup> Member state (**this applies only for lot 2**)

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<sup>14</sup> To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

<sup>15</sup> see footnote 7

**Under lot 4**, in order to be eligible for a grant, the **lead** applicant must:

- be a legal person **and**
- be a Local Authority (LA) from a Member State of the European Union, constituted in accordance with the legislation in force in the country or an association of LAs registered in a Member States of the EU **and**
- be directly responsible for the preparation and management of the Action with the co-applicants and affiliated entity(ies), not acting as an intermediary.
- be able to demonstrate to have carried out activities in the field of development awareness raising and education for at least three years.

**NB: For all lots**, associations which membership include both CSOs and LAs will be considered as either associations of CSOs or as associations of LAs, depending on their legal status and on whether the majority of their membership is CSO or LA.

If awarded the grant contract, the lead applicant will become the beneficiary identified as the Coordinator in Annex E3h1 (Special Conditions). The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the Action.

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in section 2.3.3 of the Practical Guide;

In Annex A.2, section 5 ('declaration by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant must act with co-applicant(s) as specified hereafter.

### **Co-applicant(s)**

**For all lots**, co-applicants participate in designing and implementing the Action, and the costs they incur are eligible in the same way as those incurred by the lead applicant. Co-applicants must sign the Mandate of the grant application form in Annex A.2., section 4. If awarded the Grant contract, the co-applicants will become beneficiaries in the Action (together with the Coordinator)

**Under lot 1, 2, 3**, the lead applicant must act together with **a minimum of two co-applicants. The three of them must be established in three different EU Member States.**

**Under lot 1, 2, 3, co-applicants must satisfy the following eligibility criteria:**

- be legal persons **and**
  - be non-profit-making **and**
  - be a Civil Society Organisation (CSO), an association of CSO **and**
  - be established in a Member State of the European Union or of an eligible partner country or territory as defined in the OECD DAC list<sup>16</sup>
- OR
- be legal persons **and**
  - be a Local Authority (LA) or an association of LAs **and**

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<sup>16</sup> See footnote 06

- be Local Authorities or Associations of Local Authorities from a Member State of the European Union or from one of the eligible partner countries or territories as defined in the OECD DAC list<sup>17</sup>, constituted in accordance with the legislation in force in the country.

**Under lot 4** the lead applicant must act together with a **minimum of five co-applicants**:

- **At least two LAs from different EU Member States** (municipalities having over 200,000 inhabitants). At least one of these must be from an EU 13 Member State if the **lead applicant is not from an EU 13 Member State**.
- **At least two small EU LAs** (municipalities having a minimum of 30,000 inhabitants and max 200,000 inhabitants).
- **At least one co-applicant from an EU partner country**<sup>18</sup>.

**Under lot 4, co-applicants must satisfy the following eligibility criteria:**

- be legal persons **and**
- be a Local Authority (LA) or an association of LAs **and**
- be Local Authorities or Associations of Local Authorities from a Member State of the European Union or from one of the eligible partner countries or territories as defined in the OECD DAC list<sup>19</sup>, constituted in accordance with the legislation in force in the country.

OR

- be legal persons **and**
- be non-profit-making **and**
- be a Civil Society Organisation (CSO), an association of CSO **and**
- be established in a Member State of the European Union or of an eligible partner country or territory as defined in the OECD DAC list<sup>20</sup>

### **2.1.2 Affiliated entities**

The lead applicant and its co-applicant(s) may act with affiliated entity(ies)

**Only the following entities may be considered as affiliated entities to the lead applicant and/or to co-applicant(s):**

Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link.

This structural link encompasses mainly two notions:

- (i) Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings:

<sup>17</sup> See footnote 06

<sup>18</sup> See footnote 06

<sup>19</sup> See footnote 06

<sup>20</sup> See footnote 06

Entities affiliated to applicant may hence be:

- Entities directly or indirectly controlled by an applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by an applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
  - Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
  - Entities under the same direct or indirect control as the applicant (sister companies).
- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

The structural link shall as a general rule be neither limited to the Action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the Action.

By way of exception, an entity may be considered as affiliated to an applicant even if it has a structural link specifically established for the sole purpose of the implementation of the Action in the case of so-called “sole applicants” or “sole beneficiaries”. A sole applicant or a sole beneficiary is a legal entity formed by several entities (a group of entities) which together comply with the criteria for being awarded the grant. For example, an association is formed by its members.

#### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

- Entities that have entered into a (procurement) contract or subcontract with an applicant, act as concessionaires or delegates for public services for an applicant,
- Entities that receive financial support from an applicant,
- Entities that cooperate on a regular basis with an applicant on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract (unless this consortium agreement leads to the creation of a "sole applicant" as described above).

#### How to verify the existence of the required link with an applicant?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the applicant and its proposed affiliates belong to.

The affiliation resulting from membership may in particular be proved on the basis of the statutes or equivalent act establishing the entity (network, federation, association) which the applicant constitutes or in which the applicant participates.

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the Action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the Action and the costs they incur (including those incurred for implementation contracts and financial support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the beneficiary(ies) under the grant contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Annex A.2., section 5.

### **2.1.3 Associates and Contractors**

The following entities are not applicants nor affiliated entities and do not have to sign the "mandate for co-applicant(s)" or "affiliated entities' statement":

- Associates

Other organisations or individuals 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. Associates must be mentioned in Annex A.2., section 6 — ‘Associates participating in the Action’.

- Contractors

The beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

- Redistribution of the grant

The grant beneficiaries may award financial support to third parties. These entities are neither affiliated entity(ies) nor associates nor contractors. However, they are subject to the nationality and origin rules set out in Annex IV to the standard grant contract.

### **2.1.4 Third parties benefitting from financial support**

**For lots 1, 2, and 4 please see financial support to third parties section in point 2.1.5 for eligibility conditions (points i to vii).**

**For LOT 3, see Annex X for third party eligibility criteria.**

### **2.1.5 Eligible Actions: Actions for which an application may be made**

#### Definition

An Action is composed of a set of activities.

#### Duration

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

#### Sectors or themes

See section of the present Guidelines (objectives of the programme and priority issues).

#### Location

**Lot 1: Global Learning education and campaigning and advocacy projects** led by a CSO or an association of CSO from EU member states

Actions **must** take place in a **minimum of 10 EU Member States**.

**Lot 2: Global Learning education and campaigning and advocacy projects** led by a CSO or an association of CSO from EU 13 member states

Actions **must** take place in a **minimum of 6 EU Member States**.

### **Lot 3: Financial support to third parties**

Actions **must** take place in a **minimum of 6 EU Member States**.

**Lot 4: Global Learning education and campaigning and advocacy projects** led by a Local Authority or an association of LAs from EU member states

Actions **must** take place in a **minimum of 6 EU Member States**.

#### **For all lots:**

Specific project activities (e.g. transfer of good practices, international exchange, networking) may take place in partner countries<sup>21</sup>, on the condition that they constitute a minor part of the Action and directly contribute to the objectives of the present Call for Proposals.

#### Types of Action

##### **Types of Action which may be financed under this call**

To be eligible for co-financing, Actions under this call must comply with the objectives and priorities of the Call for Proposals described in point 1.2 of these Guidelines. These Actions shall also aim at reaching one or more of the expected results mentioned under the same point.

Although final beneficiaries of the Action could be the general population, Actions must clearly identify and define specific target groups.

**Lot 1: Global Learning education and campaigning and advocacy projects led by a CSO or an association of CSO from EU member states**

Projects under this lot, shall choose between the two following options:

- Option 1 – Global learning education - Projects under this option will focus on development education in the formal education system (such as curriculum development, teacher training, development education programmes in school, work with parent-teachers associations, etc.) and on Actions outside of the formal education system (such as youth groups, non-formal education, seminar type conferences, etc.) Projects under this option aim at enhancing the competences of the target groups in addressing issues of global development. They use learner-centred, participatory, dialogue-oriented and experiential methodologies to develop such competences.

**Actions which focus on the formal education system must be approved by the relevant educational authorities of the country in which they will take place.** In countries where a national development education strategy has been developed, activities which take place within the formal education system have to be consistent with the national strategy. Close coordination with relevant educational authorities is essential.

Applicants will be required to provide evidence in the form of a signed declaration by the relevant educational authority in each of the countries of intervention, stating:

- that they are the competent authority in terms of education in the particular national context,
- that the project fits within their national or local priorities or strategy, and
- that they are willing to cooperate with the project.

This evidence will be requested of a successful applicant prior to contract signature. **Failure to provide such document will preclude the signature of a grant contract.**

- Option 2 – Campaigning and advocacy - Projects under this option also aim at concrete changes in behaviour at individual and collective levels. They use results-oriented strategies. They facilitate and support informed public engagement and advocacy for more just and sustainable policies, political/economic structures, and individual practices. Campaigning and advocacy projects should have a clear pan-European dimension. They should seek to produce results at

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<sup>21</sup> See footnote 06

European level, and should involve coordinated Action and a coherent approach in various Member States.

**Lot 2: Global Learning education and campaigning and advocacy projects led by a CSO or an association of CSO from EU 13 member states**

Options and rules as per lot 1 apply.

**Lot 3: Financial support to third parties managed by a CSO or an association of CSOs from an EU member state**

The objective of lot 3 is to reach out to Civil Society Organisations that do not have the financial, administrative or operational capacity to compete directly for EU funding under the DEAR programme.

This will be accomplished through the modality of financial support to third parties, which will be the main purpose of the action. Financial support to third parties consists in an indirect financial contribution through an EC grant Beneficiary to a third party. It is a payment of a non-commercial nature to implement an activity by financial support to third parties.

The actions supported through the financial support must contribute to the Global objective and Specific objectives of the DEAR call for proposals as defined in section 1.2 of the Guidelines for Applicants.

In their application, the beneficiary (ies) must outline the objectives and the results that they would like to achieve through the use of the financial support.

Please see Annex X for further details.

**Lot 4: Global Learning education and campaigning and advocacy projects led by a Local Authority or Association of LAs.**

**Options and rules as per lot 1 apply.**

Furthermore, projects under this lot should seek to engage European LA and ALA in fostering changes in public policies connected to development issues, where LA have institutional responsibility and competencies.

**Actions which focus on the formal education system must be approved by the relevant educational authorities of the country in which they will take place.** In countries where a national development education strategy has been developed, activities which take place within the formal education system have to be consistent with the national strategy. Close coordination with relevant educational authorities is essential.

Applicants will be required to provide evidence in the form of a signed declaration by the relevant educational authority in each of the countries of intervention, stating:

- that they are the competent authority in terms of education in the particular national context,
- that the project fits within their national or local priorities or strategy, and
- that they are willing to cooperate with the project.

This evidence will be requested of a successful applicant prior to contract signature. **Failure to provide such document will preclude the signature of a grant contract.**

**The following types of Actions are ineligible for all lots:**

- Actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and 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 intended to raise funds or promote the visibility of the applicant or its partner(s);

- Actions consisting mainly of research or of study;
- Actions which consist exclusively or primarily in capital expenditure, such as infrastructure, land, equipment;
- 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 directly political parties;
- Actions which include proselytising activities.

#### Types of activity

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

In preparing the plan of activities and related budget, **it is compulsory to foresee the participation of one lead applicant project staff, and two co-applicant project staff**, in the seminars which the European Commission may organise in Brussels or elsewhere, at least once a year for the whole duration of the project. Participation in seminars such as the inception and capitalisation seminars, for the purpose of training, exchange of good practices and networking **is compulsory** for the Actions presented under all lots of this Call for Proposals.

**This activity must be clearly spelled out in the description and the budget of the Action** (travel, accommodation, per diem for Brussels as a calculation basis, for a maximum of nine man days).

In preparing the plan of activities and related budget, applicants **must include** the costs of **external expenditure verifications**. Requests for payment submitted by Beneficiaries must be accompanied by an expenditure verification report.

An **external final evaluation** of the proposed Action also has to be included in the proposal and the related budget.

#### Financial support to third parties

Under lots 1, 2 and 4, applicants may propose financial support to third parties in order to help achieving the objectives of the Action. In accordance with the Financial Regulation, third parties cannot be either co-applicants, affiliated entity(ies) or associates or contractors of the beneficiaries. The maximum amount of financial support per third party is EUR 60 000.

**Under LOT 3, the Financial Support to Third Parties is the primary aim of the action. Please see Annex X for further information.**

The following specific conditions or restrictions apply to all lots:

In compliance with the present guidelines and notably of any conditions or restrictions in this section, the lead applicant shall define in section 2.1.1 of the grant application form:

- (i) the objectives and results to be obtained with the financial support (objectives must be coherent with the general and specific objectives of the call for proposal)
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.
- (vii) the monitoring and control system of third parties

In all events, the mandatory conditions set above for giving financial support (points (i) to (vi)) have to be strictly defined in the grant contract as to avoid any exercise of discretion.]

### Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the Action. As far as possible, Actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the Action and the EU support for the Action in the country or region concerned, as well as the results and the impact of this support.

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external Actions specified and published by the European Commission at [https://ec.europa.eu/europeaid/communication-and-visibility-manual-eu-external-actions\\_en](https://ec.europa.eu/europeaid/communication-and-visibility-manual-eu-external-actions_en)).

The lead applicant must also commit to preparing and updating a brief EU-format provided summary of the project every year for the duration of the Action. These summaries will be used by the European Union in its communication tools, such as websites, should the European Union decide to publish them.

### Number of applications and grants per applicants

A legal entity may only apply once either as a lead applicant, co-applicant or affiliated entity under this call for proposals (all lots).

All applications that do not respect the above condition will be rejected.

## ***2.1.6 Eligibility of costs: costs that can be included***

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and an overall ceiling for 'eligible costs'.

The reimbursement of eligible costs may be based on any or a combination of the following forms:

- actual costs incurred by the beneficiary(ies) and affiliated entity(ies)
- one or more simplified cost options.

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

Applicants proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital

letters to "UNIT COST" (per month/flight etc), "LUMPSUM" or "FLAT RATE" in the Unit column. (see example in Annex K)

Additionally in Annex B, in the second column of worksheet no.2, "Justification of the estimated costs" per each of the corresponding budget item or heading applicants must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>22</sup>
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

At contracting phase, the Contracting Authority decides whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicants, by analysing factual data of grants carried out by the applicants or of similar Actions and by performing checks established by Annex K.

The total amount of financing on the basis of simplified cost options that can be authorised by the Contracting Authority for any of the applicants individually (including simplified cost options proposed by their own affiliated entities) cannot exceed EUR 60 000 (the indirect costs are not taken into account).

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the grant contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and 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. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

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

#### Eligible direct costs

To be eligible under this call for proposals, costs must comply with the provisions of Article 14 of the General Conditions to the standard grant contract (see Annex G of the guidelines).

#### Contingency reserve

The budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the Contracting Authority.

#### Eligible indirect costs

The indirect costs incurred in carrying out the Action may be eligible for flat-rate funding, but the total must not exceed 7 % of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the Special Conditions of the grant contract, no supporting documents need to be provided by the beneficiary.

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the Action.

#### Contributions in kind

Contributions in kind mean the provision of goods or services to a beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, they are not eligible costs.

Contributions in kind may not be treated as co-financing.

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22 Examples:- for staff costs: number of hours or days of work \* hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km \* pre-set cost of transport per km; number of days \* daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event \* pre-set total cost per participant etc.

However, if the description of the Action as proposed includes contributions in kind, the contributions have to be made.

### Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another Action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings;
- purchases of vehicles, unless the applicant can demonstrate that the purchase is necessary for the purpose of the action implementation;
- currency exchange losses;
- office rent, unless the applicant can demonstrate that additional and specific office rental is necessary for the purpose of the action implementation;
- taxes, including VAT, unless the beneficiary or co-beneficiaries can demonstrate they cannot reclaim them;
- credit to third parties.

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

To apply for this call for proposals the lead applicants need to:

I. Provide information about the organisations involved in the Action. Please note that the registration of this data in **PADOR is obligatory**<sup>23</sup> for this call for proposals:

**Concept note step:** Registration is obligatory for lead applicants.

Registration is optional though strongly recommended for:

- co-applicant(s) and affiliated entity(ies).

**Full application step:** Registration is obligatory for co-applicant(s) and affiliated entity(ies). Lead applicants must make sure that their PADOR profile is up to date.

II. Provide information about the Action in the documents listed under sections 2.2.2 (concept note) and 2.2.5 (full application). Please note that online submission via **PROSPECT is obligatory** for this call,

PADOR is an on-line database in which organisations register and update information concerning their entity. Organisations registered in PADOR get a unique ID (EuropeAid ID) which they **must mention** in their application. PADOR is accessible via the website: [http://ec.europa.eu/europeaid/pador\\_en](http://ec.europa.eu/europeaid/pador_en)

**It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application in PROSPECT.**

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form'<sup>24</sup> attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see sections 2.2.2 and 2.2.5).

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<sup>23</sup> Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to register in PADOR. In this case, the information included in PROSPECT and the grant application form is sufficient.

<sup>24</sup> Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

Before starting using PADOR and PROSPECT, please read the user guides available on the website. All technical questions related the use of these systems should be addressed to the IT helpdesk at [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu) via the online support form in PROSPECT.

### **2.2.1 Concept note content**

Applications must be submitted in accordance with the concept note instructions in the grant application form<sup>25</sup> annexed to these guidelines (Annex A.1). Applicants must apply in English or French.

Concept Notes must be submitted in one of the following EU languages: English or French, using the available versions of the form included in the present call (English or French).

Please note that:

1. In the concept note lead applicants must provide only an estimate of the **requested EU contribution**, as well as an indicative percentage of this contribution in relation to the total eligible costs of the Action. A detailed budget is to be submitted only by lead applicants invited to submit a full application in the second phase
2. The elements outlined in the concept note may not be modified in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the requested EU contribution as a percentage of the total eligible costs within the minimum and maximum amounts and percentages provided in section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case, the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the Action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of Action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form.

Own contributions by the applicants can be replaced by other donors' contributions at any time.

3. Only the concept note form will be evaluated. It is therefore of utmost importance that this document contains **all relevant information** concerning the Action. **No additional annexes should be sent.**

Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.

Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

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

The concept note together with the declaration by the lead applicant (Annex A.1 section 2) **must be submitted online via PROSPECT** <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the PROSPECT user manual. Please note that PROSPECT is unavailable for maintenance every Monday between 14:00 and 15:00 Brussels time.

Upon submission of a concept note online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.

**Please note that incomplete concept notes may be rejected.** Lead applicants are advised to verify that their concept note is complete by using the checklist for concept note (Annex A.1, Instructions).

All IT technical questions related to **PROSPECT** should be addressed to the PROSPECT helpdesk at: [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu).

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<sup>25</sup> The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form.

### **2.2.3 Deadline for submission of concept notes**

The deadline for the submission of concept notes is **01/06/2016 at 16:00** (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account timezones and winter/summer time changes (example available [here](#))<sup>26</sup> **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such aforementioned difficulties.

Any concept note submitted after the deadline will be rejected.

### **2.2.4 Further information about concept notes**

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

E-mail address: [EuropeAid-151103@ec.europa.eu](mailto:EuropeAid-151103@ec.europa.eu)

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

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

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), an Action or specific activities.

No individual replies will be given to questions. Questions sent directly to staff e-mail addresses will not be taken into consideration. Any direct contact with a member of the Commission staff or any attempt to get privileged information will lead to the rejection of the concept note. No request for individual meeting to discuss the drafting of the concept note will be accepted.

All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the EuropeAid website, as appropriate:

1. <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>
2. "Search by reference"
3. 151103

It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu) **via the online support form in PROSPECT** Please note that the working languages of the IT support are: English and French. Therefore users are invited to send their questions in English or French should they wish to benefit from an optimum response time.

### **2.2.5 Full applications**

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using the full application form annexed to these guidelines (Annex A.2).

Applications must be submitted in accordance with the full application instructions at the end of Annex A.2. Lead applicants must submit their full applications in the same language as their concept notes.

Please note that:

1. The elements outlined in the concept note cannot be modified by the lead applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines

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<sup>26</sup> For example: <http://www.timeanddate.com/worldclock/converter.html>.

under section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the Action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of Action not being carried out). An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant application form.

2. A copy of the lead applicant's accounts of the latest financial year (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed) must be uploaded in PADOR by the full application deadline. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).

3. An external audit report produced by an approved auditor, certifying the lead applicant's accounts for the last financial year available where the total amount of the requested EU contribution exceeds EUR 750 000 must be uploaded in PADOR by the full application deadline. The external audit report is not required from (if any) the co-applicant(s) and the affiliated entity (ies).

4. 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, if used). It is therefore of utmost importance that these documents contain **ALL the relevant information** concerning the Action. **No additional annexes should be sent.**

Any error or any major inconsistency related to the full application instructions (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

#### **2.2.6 Where and how to send full applications**

Full application forms together with the budget, the logical framework and the declaration by the lead applicant must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the users' manual. Please note that PROSPECT is unavailable for maintenance every Monday between 14:00 and 15:00 Brussels time.

Upon submission of the full application online, the lead applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

**Please note that incomplete applications may be rejected.** Lead applicants are advised to verify that their application is complete using the checklist (Annex A.2, Instructions).

#### **2.2.7 Deadline for submission of full applications**

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant.

**Lead applicants are strongly advised not to wait until the last day to submit their full applications,** since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

#### **2.2.8 Further information about full applications**

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of full applications to the addresses listed below, indicating clearly the reference of the call for proposals:

E-mail address: [EuropeAid-151103@ec.europa.eu](mailto:EuropeAid-151103@ec.europa.eu)

The Contracting Authority has no obligation to provide clarifications to questions received after this date. Replies will be given no later than 11 days before the deadline for the submission of applications.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), or an Action.

No individual replies will be given to questions. Questions sent directly to Commission staff e-mail addresses will not be taken into consideration. Any direct contact with a member of the Commission staff or any attempt to get privileged information will lead to the rejection of the full application. No request for individual meeting to discuss the drafting of the full application will be accepted.

All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the EuropeAid website, as appropriate:

1. <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>
2. "Search by reference"
3. 151103

It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu) via the online support form in PROSPECT. Please note that the working languages of the IT support are: English and French. Therefore users are invited to send their questions in English or French should they wish to benefit from an optimum response time.

## 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 applications 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 section 2.1, the application will be rejected on this sole basis.

### STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the administrative check (including the eligibility check of the Action) the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the concept note satisfies all the criteria specified in the checklist in the instructions included in Annex A.1. This includes also an assessment of the eligibility of the Action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The concept notes that pass this check will be evaluated on the relevance and design of the proposed Action.

The concept notes will receive an overall score out of 50 in line with the evaluation grid below. The evaluation will also check the compliance with the instructions on how to complete the concept note (Annex A.1).

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

#### Concept Note Evaluation Grid

<b>Section</b>	<b>Maximum Score</b>
<b>1. Relevance of the Action</b>	<b>30</b>
1.1. How relevant is the proposal to the general and specific objectives of the Call for Proposals?*	5x2**
1.2. How relevant is the proposal to the priorities of the Call for Proposals?*	5x2**
1.3. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other DEAR initiatives and avoidance of duplication)?*	5
1.4. 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
<b>2. Design of the Action</b>	<b>20</b>
2.1. How coherent is the overall design of the Action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**
2.2. Is the Action feasible and consistent in relation to the objectives and expected results?	5x2**
<b>Maximum total score</b>	<b>50</b>

\* as specified in section 1.2 of these guidelines. **A proposal which does not clearly address both priorities of the Action may be rejected on this sole basis.**

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

Concept notes with a score lower than 30 will be rejected.

Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of at least 200% of the available budget for each lot is reached.

The European Commission reserves itself the right, as part of the selection criteria, to ensure a certain optimal geographical and/or thematic coverage in the selection of projects.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant.

The pre-selected lead applicants will subsequently be invited to submit full applications.

## **STEP 2: ADMINISTRATIVE CHECK AND EVALUATION OF THE FULL APPLICATION**

During the administrative check (including the eligibility check of the Action) for full applications the following will be assessed:

- If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- If the full application satisfies all the criteria specified in the checklist in Annex A.2. This includes also an assessment of the eligibility of the Action. If any of the requested information is

missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and the capacity of the applicants and affiliated entity(ies). The evaluation criteria used are presented in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify that they:

- have stable and sufficient sources of finance to maintain their activity throughout the proposed Action and, where appropriate, to participate in its funding (this only applies to lead applicants);
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed Action. This applies to applicants and to any affiliated entity(ies).

For the purpose of the evaluation of the financial capacity, all applicants must ensure that the relevant information and documents in their PADOR profile are up to date. If the information and documents in PADOR are outdated and do not allow for a proper evaluation of the financial capacity, the application may be rejected.

**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, and to award grants to projects which maximise the overall effectiveness of the call for proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover the relevance of the Action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

The evaluation grid is divided into sections and subsections. Each subsection will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

### Full Application Evaluation Grid<sup>27</sup>

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise (especially knowledge of the issues to be addressed)?	5
1.3. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity (including staff, equipment and ability to handle the budget for the Action)?	5
1.4. Does the lead applicant have stable and sufficient sources of finance?	5
<b>2. Relevance of the Action (will be transferred from the Concept Note)</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	30

<sup>27</sup> Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8. of the Practical Guide.

<b>3. Effectiveness and feasibility of the Action</b>	<b>20</b>
3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2. Is the Action plan clear and feasible?	5
3.3. Does the proposal contain objectively verifiable indicators for the outcome of the Action? Is any evaluation planned?	5
3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the Action satisfactory?	5
<b>4. Sustainability of the Action</b>	<b>15</b>
4.1. Is the Action likely to have a tangible impact on its target groups?	5
4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)?	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
<b>5. Budget and cost-effectiveness of the Action</b>	<b>15</b>
5.1. Are the activities appropriately reflected in the budget?	5
5.2. Is the ratio between the estimated costs and the expected results satisfactory?	10
<b>Maximum total score</b>	<b>100</b>

If the total score for section 1 (financial and operational capacity) is less than 12 points, the application will be rejected. If the score for at least one of the subsections under section 1 is 1, the application will also be rejected.

**If the applicant does not have the required years of experience (as defined in section 2.1.1) the score in category 1.1 will be 1.**

Note that (members of) the evaluation committee or internal assessors evaluating the full applications may re-evaluate the scores given for the relevance at concept note stage and transferred to the full application.

After the evaluation, applications will be ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached.

The European Commission reserves itself the right, as part of the selection criteria, to ensure a certain optimal geographical and/or thematic coverage in the selection of projects.

In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

### **STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)**

The eligibility verification will be performed on the basis of the supporting documents requested by the Contracting Authority (see section 2.4). It will only be performed for the applications that have been provisionally selected according to their score and within the available budget indicated in Section 1.3 of these guidelines.

- The declaration by the lead applicant (section 5 of Annex A.2) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants and the affiliated entity(ies) and the Action will be verified according to the criteria set out in sections 2.1.1, 2.1.2, 2.1.3 and 2.1.4.

Following the above analysis and if necessary, any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope, which will then be examined for the eligibility of its applicant and co-applicants and affiliated entities (if any).

## **2.4 SUBMISSION OF SUPPORTING DOCUMENTS**

Organisations are required to upload/update the documents listed below in PADOR (see section 2.2) in order to allow the Contracting Authority to verify the eligibility of the lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)<sup>28</sup>:

Supporting documents must be provided through PADOR (see section 2.2)

1. The statutes or articles of association of the lead applicant, of each co-applicant and (if any) of each affiliated entity<sup>29</sup>. Where the Contracting Authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the Special Conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>30</sup>.
2. An external audit report produced by an approved auditor, certifying the lead applicant's accounts for the last financial year available where the total amount of the requested EU contribution exceeds EUR 750 000. The external audit report is not required from (if any) the co-applicant(s) or affiliated entity(ies).

This obligation does not apply to public bodies provided that they offer the guarantees provided for in the applicable Financial Regulation, as described in chapter 6 of the Practical Guide.

3. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
4. A financial identification form of the lead applicant (not from co-applicant(s), nor from affiliated entity(ies)) conforming to the model attached at Annex E of these guidelines, certified by the

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28 No supporting document will be requested for applications for a grant not exceeding EUR 60000.

29 Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

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

bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

The requested supporting documents uploaded in PADOR must be supplied in the form of scanned versions (i.e. showing legible stamps, signatures and dates) of the originals.

Where these documents are in an official language of the European Union other than one of the language(s) 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 lead applicants' and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into one of the language(s) of the call for proposals .

Applicants have to take into consideration the time necessary to obtain official documents from national competent authorities and to translate such documents in the authorised languages while registering their data in PADOR.

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

After verifying the supporting documents, the evaluation committee will make a final recommendation to the Contracting Authority, which will decide on the award of grants.

NB : In the eventuality that the Contracting Authority is not satisfied with the strength, solidity, and guarantee offered by the structural link between one of the applicants and its affiliated entity, it can require the submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The lead applicant has to submit the application form revised accordingly.

## **2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION**

### **2.5.1 *Content of the decision***

The lead applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further section 2.4.15 of the Practical Guide.

Applicants who were unsuccessful at the Opening and Administrative Check stages of the procedure wishing to obtain further information should send their request by letter, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission  
Directorate-General for International Cooperation and Development — EuropeAid  
Unit DEVCO B6 – Finance, Contracts, Audit – Human Development and Migration  
Attn. Head of Unit  
Office: J-59 01/33  
B-1049 Brussels  
Belgium

Applicants who were unsuccessful at the Technical evaluation stages of the procedure or at the Eligibility

check stage wishing to obtain further information should send their request, by letter indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission  
Directorate-General for International Cooperation and Development— EuropeAid  
Unit DEVCO B2 –Civil Society, Local Authorities–Human Development and Migration  
Attn. Head of Unit  
Office: J-59 02/033  
B-1049 Brussels  
Belgium

## *Indicative timetable*

	<b>DATE</b>	<b>TIME</b>
<b>1. Information meeting, if any</b> (local time)	Not applicable	Not applicable
<b>2. Deadline for requesting any clarifications from the Contracting Authority</b>	11/05/2016	-
<b>3. Last date on which clarifications are issued by the Contracting Authority</b>	21/05/2016	-
<b>4. Deadline for submission of concept notes</b>	<b>01/06/2016</b>	16:00
<b>5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	September 2016	-
<b>6. Invitations to submit full applications</b>	September 2016	
<b>7. Deadline for submission of full applications</b>	October 2016	
<b>8. Information to lead applicants on the evaluation of the full applications (Step 2)<sup>31</sup></b>	March 2017	-
<b>9. Notification of award (after the eligibility check) (Step 3)</b>	March-May 2017	-
<b>10. Contract signature<sup>32</sup></b>	April-May 2017	-

All dates and times are expressed in Brussels time, where it is not specified otherwise.

This indicative timetable refers to provisional dates (except for dates 2, 3 and 4) and may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>.

## **2.6 CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT**

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract.

### Implementation contracts

<sup>31</sup> Note that according to the financial regulation, in direct management, applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

<sup>32</sup> Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

Where implementation of the Action requires the beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

## **2.7 EARLY DETECTION AND EXCLUSION SYSTEM (EDES)**

The applicants and, if they are legal entities, the 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 section 2.3.3.1 or 2.3.3.2 of the Practical Guide 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 EDES. For further information see section 2.3.3 and 2.3.4 of the Practical Guide.

### 3 LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

- Annex A: Grant Application Form (Word format)
- A.1. Concept Note
  - A.2. Full Application Form
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Word format)
- Annex D: Legal Entity Sheet
- Annex E: Financial identification form
- Annex F: PADOR off Line Form (***ONLY IF IMPOSSIBLE TO REGISTER IN PADOR***)

#### DOCUMENTS FOR INFORMATION<sup>33</sup>

- Annex G: Standard Grant Contract
- Annex II: general conditions
  - Annex IV: contract award rules
  - 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 Action
  - Annex VIII: model financial guarantee
  - Annex IX: standard template for transfer of ownership of assets
  - Annex X: Financial Support to Third Parties
- Annex H: Daily allowance rates (per diem), available at the following address:  
[http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems\\_en](http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en)
- Annex J: Information on the tax regime applicable to grant contracts signed under the call
- Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

#### USEFUL LINKS

##### PROSPECT E-LEARNING

[https://circabc.europa.eu/d/a/workspace/SpacesStore/9ffda21c-44d2-43c2-aa8c-4800ef01d468/EL\\_PROSPECT\\_APPLICANTS\\_EN.pdf](https://circabc.europa.eu/d/a/workspace/SpacesStore/9ffda21c-44d2-43c2-aa8c-4800ef01d468/EL_PROSPECT_APPLICANTS_EN.pdf)

##### USERS' MANUAL FOR PROSPECT

<https://webgate.ec.europa.eu/fpfis/wikis/display/devcoiskb/PROSPECT+-+Applicants%27+User+Manual>

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<sup>33</sup> The Contracting Authority shall also provide public access to these documents.

## PROJECT CYCLE MANAGEMENT GUIDELINES

[https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\\_en](https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en)

## THE IMPLEMENTATION OF GRANT CONTRACTS - A USERS' GUIDE

<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19>

## FINANCIAL TOOLKIT

[http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010\\_en.pdf](http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010_en.pdf)

Please note: The toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

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