



Contracting Authority: European Commission

European Instrument for Democracy and Human Rights (EIDHR)

Country-Based Support Scheme (CBSS)

Call for Proposals

Viet Nam

Guidelines
for grant applicants

Budget line: 19.04.01

Reference: EuropeAid/128807/L/ACT/VN

Deadline for submission of proposals: 30 November 2009

NOTICE

This is an open Call for Proposals, where all documents are submitted at one stage (Concept Note and full proposal). However, in the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants whose Concept Notes have been pre-selected, evaluation of the full proposal will be carried out. Further to the evaluation of the full proposals, 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.

Table of contents

1. EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS

1.1 Background.....	4
1.2 Objectives of the programme and priority issues	4
1.3 Financial allocation provided by the contracting authority	5

2. RULES FOR THIS CALL FOR PROPOSALS 6

2.1 Eligibility criteria.....	6
2.1.1 Eligibility of applicants: who may apply?.....	6
2.1.2 Partnerships and eligibility of partners.....	7
2.1.3 Eligible actions: actions for which an application may be made.....	7
2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant	8
2.2 how to apply and the procedures to follow	9
2.2.1 Application form	10
2.2.2 Where and how to send the Applications.....	11
2.2.3 Deadline for submission of Applications.....	12
2.2.4 Further information for the Application.....	12
2.3 Evaluation and selection of applications	13
2.4 Submission of supporting documents for provisionally selected applications	17
2.5 Notification of the Contracting Authority's decision	19
2.5.1 Content of the decision	19
2.5.2 Indicative time table	19
2.6 Conditions applicable to implementation of the action following the Contracting Authority's decision to award a grant	20

3. LIST OF ANNEXES 21

Annex h: Standard Contribution agreement, applicable in case where the beneficiary is an International organisation	21
Project Cycle Management Guidelines	21

1. EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS

1.1 BACKGROUND

The European Instrument for Democracy and Human Rights (EIDHR)¹ was adopted by the European Parliament and the Council in December 2006 under the Financial Perspectives 2007-2013. This new financing instrument is the successor to the European Initiative for Democracy and Human Rights, established upon the initiative of the European Parliament in 1994. This thematic instrument, which entered into force on 1 January 2007, reflects the high political profile and specific Treaty mandates relating to the development and consolidation of democracy and the rule of law, and respect for human rights and fundamental freedoms, and will bring financial support worldwide to activities in this area.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The general objectives of the new financing instrument are to contribute to the development and consolidation of democracy and the rule of law, and respect for all human rights and fundamental freedoms, within the framework of the Community's policy on development cooperation, and economic, financial and technical cooperation with third countries, and consistent with the European Union's foreign policy as a whole.

The instrument aims at helping civil society to become an effective force for political reform and defence of human rights. The EIDHR will offer independence of action, allowing for the delivery of assistance in principle without the need for government consent, which is a critical feature of cooperation with civil society organisations at national level, especially in the sensitive areas of democracy and human rights.

The European Commission has drawn up a Strategy Paper 2007-2010² for the implementation of the EIDHR. The strategy aims *inter alia* at assisting local civil society to develop greater cohesion in working on political pluralism and democratic political participation through the implementation of country-based support schemes (CBSS). The CBSS are operationalised through the organisation of calls for proposals managed by the Delegations of the European Commissions in third countries, including in Viet Nam.

Objectives and Priority issues for this Call for Proposals:

1. Pursuit of common agendas for human rights and democratic reform

- activities to promote women's and children's rights, the rights of persons with disabilities and other vulnerable groups;
- activities to protect the rights of indigenous peoples;
- activities advocating the abolition of the death penalty, the prevention of torture and ill-treatment.

2. Building towards consensus on disputed or controversial areas of policy

- activities to share experience and analyse common problems concerning the relationship between religion and the state.

3. Enhancing political representation and participation

- enhancing political representation and participation, including the empowerment of women and other underrepresented groups, and responsiveness and accountability, by means of initiatives by civil society in dialogue with "political society" (e.g. with the National Assembly of Viet Nam).

¹ Regulation (EC) No 1889/2006 of the European Parliament and of the Council, 20.12.2006. OJ L386, 29.12.2006, p.1. http://ec.europa.eu/europeaid/where/worldwide/eidhr/documents/reg_1889_2006_jo_l386_en.pdf

² The EIDHR strategy paper can be found at: <http://ec.europa.eu/europeaid/projects/eidhr/documents.en.htm>

4. Initiatives to enhance the inclusiveness and pluralism of civil society

-supporting activities and capacity-building of new or fragile civil society organisations formed by groups whose interests are underrepresented, or otherwise contributing to the empowerment of such groups (e.g. minority groups, indigenous peoples, persons subject to caste-based discrimination, people with disabilities, women workers, rural groups, internally displaced persons *etc*), and initiatives to promote independent and responsible media.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 900,000. Subject to the final decision of the budgetary Authority, an additional amount may be allocated to this call for proposals from the 2010 budget. The final amount will be decided by the Commission in the EIDHR 2010 Annual Action Programme. The Contracting Authority reserves the right not to award all available funds.

Size of grants

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

- minimum amount: EUR 100,000
- maximum amount: EUR 300,000

A grant may not be for less than 90 % of the total eligible costs of the action.

In addition, no grant may exceed 95 % 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.

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/implementation/index_en.htm).

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

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

2.1.1 Eligibility of applicants: who may apply?
--

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

- be legal persons **and**
- be non profit making **and**
- be non-governmental organisations, public sector operators, independent political foundations (not political parties), parliamentary bodies, universities, academic institutions, or international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation³ **and**
- be nationals⁴ of Viet Nam, a Member State of the European Union, an official EU candidate country as recognised by the European Community, a Member State of the European Economic Area, or other eligible countries covered by the Regulation on establishing a financing instrument for the promotion of democracy and human rights worldwide⁵. This obligation does not apply to international organisations **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

³ International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies, European Investment Bank (EIB) and European Investment Fund (EIF) are also recognized as international organisations.

⁴ Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a "Memorandum of Understanding" has been concluded.

⁵ Regulation (EC) No 1889/2006 of the European Parliament and of the Council of 20 December 2006 on establishing a financing instrument for the promotion of democracy and human rights worldwide (Official Journal of the European Union no. L 386 of 29 December 2006), available at: http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/index_en.htm. See in particular Article 14 ("rules of participation and rules of origin").

(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/implementation/index_en.htm);

In part B section VI of the grant application form ("Declaration by the applicant"), applicants must declare that they do not fall into any of these situations.

2.1.2 Partnerships and eligibility of partners

Applicants may act individually or with partner organisations.

Partners

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

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.

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

Sectors or themes

The proposals must contribute directly to the Objectives and Priority Issues described in section 1.2.

Location

Actions must take place in Viet Nam.

Types of action

Projects should be self-contained operations indicating a coherent set of activities with clearly defined operational objectives, target groups and planned, tangible outcomes, within a limited timeframe. Activities should be designed to meet the specific needs of the target groups identified by the project. Only activities

that fall under the Objectives and Priority Issues described in section 1.2 of these guidelines are eligible for funding under this Call for Proposals. Proposed actions must be conceived to produce specific, measurable results which are in response to a particular issue. Actions must have clear objectives based on a strategy and methodology, an integrated approach with various complimentary activities and be likely to directly address the issue in question. The implementation methods should follow this approach and should contain objective and verifiable indicators to be defined for each individual activity proposed. Actions will be selected on the basis of their expected results as well as their potential effectiveness. Each action will present its own indicators of performance and success which must be objective and verifiable.

Types of activity

All proposed activities should strive to achieve practical results.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- study-tours or visits outside of Viet Nam;
- one-off conferences. Conferences can only be funded if they form part of a wider range of activities to be implemented in the lifetime of the action. For these purposes, preparatory activities for a conference and the publication of the proceedings of a conference, do not in themselves constitute such “wider activities”;
- actions supporting individual political parties;
- core funding of the applicant or (where relevant) its partners.

Sub-granting

In order to **support the achievement of the objectives of the Action**, and in particular where the **implementation of the Action proposed by the Applicant requires financial support to be given to third parties**, the Applicant **may** propose awarding sub-grants. However, sub-granting may not be the main purpose of the Action and it must be duly justified.

In case where the Applicant foresees to award sub-grants, it has to specify in its application the total amount of the grant which may be used for awarding sub-grants as well as the minimum and maximum amount per sub-grant a list with the types of activity which may be eligible for sub-grants must be included in the application, together with the criteria for the selection of the beneficiaries of these sub-grants. The maximum amount of a sub-grant is limited to EUR 10.000 per third party while the total amount which can be awarded as sub-grants to third parties is limited to EUR 100.000.

Number of applications and grants per applicant

An applicant may submit more than one application under this call for proposals.

An applicant may be awarded more than one grant under this call for proposals.

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

Partners may take part in more than one application

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). Applicants shall take into account the UN – EU guidelines for financing of local costs in development co-operation with Viet Nam (latest 2009 version), available at:

http://www.delvnm.ec.europa.eu/eu_vn_relations/development_coo/UN_EU_Cost_norms_2009_en.pdf

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.

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

Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex 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;
- credit to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Please note that the prior registration in PADOR⁶ for applicants and their partners for this Call for proposals is obligatory.

PADOR is an on-line database in which organisations register themselves and update regularly their data. Data provided by organisations in PADOR is used by the European Commission for checking the eligibility of the organisations that participate in calls for proposals.

In PADOR, organisations introduce the same data that is requested in the chapters II (for the main applicants) and III (for the partners of the main applicant) of the paper application form. This data concerns the organisation itself, it is not linked to the project proposal.

Organisations obtain their EuropeAid ID after having completed the registration process. The registration process consists in encoding, saving and submitting consistent information on all the PADOR screens (such as Sectorial and Geographical experience, Financial data, etc.).

Before starting the registration of your organisation in PADOR, please check:

- the Frequently Asked Questions
- the PADOR user's guide
- the e-training

These 3 documents are available on the website:

http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm

Before starting the registration of your organisation in PADOR, please check whether there already is a person, within your organisation, who has registered it before you. In case a colleague of yours has already registered the organisation, please get in touch with him/her for obtaining the EuropeAid ID of your organisation.

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.

Before the deadline for presenting the concept note and full proposal, organisations must fill in, save and submit information introduced in all the fields of PADOR (including the fields written with black characters)

⁶ For further information on PADOR, please consult the following website:

http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm

Helpdesk for questions related to the functioning of PADOR:

Europeaid-ON-LINE-REGISTRATION-HD@ec.europa.eu

Only data registered and submitted before the dead-line for the submission of the concept note and full proposal will be taken into account by the EC.

It is by "submitting" their data that organisations engage their responsibility on the accuracy and veracity of the data provided in PADOR.

The supporting documents requested (statuses, financial reports, audit reports) may be uploaded in PADOR after the evaluation of the Full Proposals, but before the deadline fixed in the notification letter from the European Commission. By letter from the European Commission, the applicant will be reminded that these documents will have to be loaded in PADOR for the final eligibility check. Nevertheless, we strongly advise you to upload these documents while registering in PADOR, without waiting until the final selection of proposals is carried out.

2.2.1 *Application form*

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

Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

Please note that only the application form and the published annexes which have to be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. No additional annexes should be sent.

2.2.2 *Where and how to send the Applications*

Applications must be submitted in one original and three (3) copies in A4 size, each bound. The complete application form (part A: concept note and part B: 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 application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section V of part B 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

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

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the title, the full name and address of the applicant, and the words "Not to be opened before the opening session" and "Không được mở trước khi mở thầu".

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

Postal address

Delegation of the European Commission to Viet Nam
For the attention of the Head of Finance and Contracts
17th-18th floor, Pacific Place Office Building

83B Ly Thuong Kiet street
Ha Noi
Viet Nam

Address for hand delivery or by private courier service
Delegation of the European Commission to Viet Nam
For the attention of the Head of Finance and Contracts
17th-18th floor, Pacific Place Office Building
83B Ly Thuong Kiet street
Ha Noi
Viet Nam

Applications 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 application is complete using the checklist (section V of part B of the grant application form). Incomplete applications may be rejected.

2.2.3 Deadline for submission of Applications

The deadline for the submission of applications is 30 November 2009 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16:00 hours local time as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of the first evaluation step (*i.e.* Concept Note) (see indicative calendar under section 2.5.2).

2.2.4 Further information for the Application

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

The email address to be used is: delegation-vietnam-eidhr@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 applications.

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

Questions that may be relevant to other applicants, together with the answers, will be published on the website of the EC Delegation to Viet Nam (http://www.delvnm.ec.europa.eu/call_for_proposals/call_for_proposals.htm) and on the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>
It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

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

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 application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 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, 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 not to undertake the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of applications are received) and to go straight to the evaluation of the corresponding full applications.

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 action 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 twice the available budget for this Call for proposals. The Evaluation Committee will subsequently proceed with the applicants whose proposals have been pre-selected.

(3) STEP 3: 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 its 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 Community 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</i>	5

<i>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. 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 applications 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 application on that sole basis.
- The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

1. The statutes or articles of association of the applicant organisation⁷ 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.⁸ This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm
2. Copy of the applicant's latest accounts certified by an external auditing or accounting entity (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)⁹.
3. 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.
4. 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.

⁷ 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

⁸ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

⁹ This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

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.

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 (if any)	Not applicable	Not applicable
Deadline for request for any clarifications from the Contracting Authority	9 November 2009	-
Last date on which clarifications are issued by the Contracting Authority	19 November 2009	-
Deadline for submission of Application Form	30 November 2009	16:00 hours
Information to applicants on the opening & administrative check (step 1)	29 January 2010*	-
Information to applicants on the evaluation of the Concept Notes (step 2)	26 February 2010*	-
Information to applicants on the evaluation of the Full Application Form (step 3)	30 April 2010*	-
Notification of award (after the eligibility check) (step 4)	20 May 2010*	-
Contract signature	30 June 2010*	-

* **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.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the Contracting Authority will be used instead of the standard grant contract provided that the international organisation in question offers the guarantees provided for in article 53d (1) of the Financial Regulation, as described in Chapter 7 of the Practical Guide to contract procedures for EC external actions.

Implementation contracts

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

ANNEX E: FINANCIAL IDENTIFICATION FORM

ANNEXES B, C, D AND E ARE AVAILABLE AT:

[HTTP://EC.EUROPA.EU/EUROPEAID/WORK/PROCEDURES/IMPLEMENTATION/GRANTS/INDEX_EN.HTM](http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm)

NB: Annex B = E3c; Annex C = E3d; Annex D = E3e; and Annex E = E3f.

DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN COMMUNITY-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 EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL FINANCIAL GUARANTEE

ANNEXES II, IV, V, VI, VII AND VIII are available at the following address:

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

NB: Annex II = E3h_2; Annex IV = E3h_3; annex V = E3h_4; Annex VI = Annexes E3h_5, E3h_6 and E3h_7; Annex VII = E3h_8; and Annex VIII = E3h_9.

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

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

ANNEX H: STANDARD CONTRIBUTION AGREEMENT, applicable in case where the beneficiary is an International organisation, available at the following address:

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

PROJECT CYCLE MANAGEMENT GUIDELINES

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