



# FOOD FACILITY GUIDELINES FOR GRANT APPLICATIONS

Information meeting 27th of May 2009





## FOOD FACILITY WORKSHOPS





 About 30 workshops on Food Facility have been organised in the 35 countries concerned by the Call for Proposals.

#### TWOFOLD OBJECTIVE OF THE WORKSHOPS

- 1) Discuss food security policy and present food security situation in each country;
- 2) Improve stakeholder's understanding of relevant specific needs and appropriate responses in relation to the Food Facility Regulation.

### WORKSHOPS ON FOOD FACILITY Outcomes

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- 1) They have brought together a wide range of stakeholders:
- National authorities central governments from the targeted countries have presented the policies and the government funded projects going on in the field of Food Security
- International Organisations have presented their ongoing projects in the country as well as the Food Facility projects they will be implementing: WFP, FAO, UNICEF, UNDP, WB, IFAD, USAID, Asian Development Bank



- Member States: D, F, NL, P, B, ES, IT, RO, AU... either representatives from the embassies or development agencies;
- The concerned NSA have presented their activities in the field as well as their expectations from the Food Facility Programme;
- Others: Chambers of Commerce, private companies, academia...

### WORKSHOPS ON FOOD FACILITY Outcomes

- EuropeAid
- 2) They have encouraged and permitted the dissemination of scientific works in the field of food security
- e.g. Study on « The Rice Crisis: Causes, Consequences and Solutions » presented by IRRI during the workshop in Manila
- 3) They have offered an opportunity for dialogue in countries where communication between NSA, IO and local authorities is difficult

"A major achievement of the workshop has been to bring different actors (Government, IOs, NSAs) together and have a joint discussion on the Food Security situation and discuss ways to move forward. Such occasions are very rare in Eritrea." (Report Delegation Asmara)

### WORKSHOPS ON FOOD FACILITY Outcomes



- 4) Allowed the concerned stakeholders to raise questions about the Food Facility Call for Proposals:
- Feasibility and sustainability of short duration projects
- Identification of major axes of intervention
- Identification of the real needs of the country
- Legal framework and policies
- Identification of types of actions needed



#### **CALL FOR PROPOSALS**

## Objectives and priorities of the Call for Proposals



- Encourage a positive response from the agricultural sector in targeted countries
- Support activities to respond rapidly and directly to mitigate the negative effects of volatile food prices on local populations
- •Strengthen the productive capacities and the governance of the agricultural sector to enhance the sustainability of interventions

#### **Country Indicative Amount (€ million)**

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Afghanistan -10.2

Bangladesh - 15.0

**Benin - 6.1** 

**Burkina Faso - 5.0** 

Burundi - 3.4

Cambodia - 6.0

DR Congo - 4.6

Eritrea - 4.4

Ethiopia – 13.0

**Ghana - 5.9** 

Guatemala - 4.0

Guinea Bissau - 2.4

**Guinea - 13.5** 

**Haiti - 4.0** 

**Kenya - 7.2** 

**Laos - 5.8** 

Lesotho - 2.0

**Liberia - 2.75** 

Madagascar - 3.0

Malawi - 2.0

Mali - 3.05

Mauritania – 7.6

Mozambique – 4.5

**Nepal - 6.0** 

Nicaragua - 4.15

**Niger - 3.2** 

Pakistan - 10.0

Philippines – 11.3

**Sao Tome e P. - 2.1** 

Senegal - 3.6

Sierra Leone – 2.85

Tanzania – 12.4

**Togo - 3.0** 

**Yemen - 3.0** 

**Zambia - 3.0** 

**TOTAL: 200** 



#### **SIZE OF GRANTS (1)**

#### **Proposal submitted by:**

- A) Non-state actors
- B) Public and parastatal bodies\*, local authorities from the 50 beneficiary countries of the Food Facility

\*below the central government level (category 1)

Minimum grant amount	Maximum grant amount	Maximum EC contribution
(per targeted country)	(per targeted country)	
EUR 1 000 000	EUR 5 000 000	90%

#### **SIZE OF GRANTS (2)**

#### **Proposal submitted by:**

- A) Private sector organisations
- B) Financial institutions that grant, promote and finance private investment in the partner countries and regions
- C) Public and parastatal bodies\*, local authorities and consortia or representative associations (from other than the 50 beneficiary countries)
- \* below the central government level except for EU MS (category 2)

Minimum grant amount	Maximum grant amount	Maximum EC contribution
(per targeted country)	(per targeted country)	
EUR 2 000 000	EUR 5 000 000	50%

#### **SIZE OF GRANTS (3)- Exceptions**

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For actions targeting **Eritrea**, **Lesotho**, **Sao Tome and Principe as well as Yemen**:

- the minimum grant amount is reduced to EUR 500 000 for proposal submitted by the category 1 of actors;
- The minimum grant amount is reduced to EUR 1 000 000 for proposal submitted by the category 2 of actors.

For multi country actions – the grant amount in each targeted country should respect the above-mentioned rules (the minimum grant amounts apply on a per-country basis)

### ELIGIBILITY CRITERIA I. ELIGIBILITY OF APPLICANTS (1)

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- (1) In order to be eligible for a grant, applicants must:
- a) Be legal persons
- b) Be **nationals** of:
  - A country included in the list of aid recipients of OECD/DAC
  - An EEA **Member State** (i.e. the 27 EU Member States,
     Iceland, Liechtenstein and Norway)
  - An official candidate state as recognised by the European Community (i.e. Croatia, Former Yugoslav Republic of Macedonia, Turkey)
- c) Be directly responsible for the preparation and the management of the action with their partners, not acting as an intermediary.

### ELIGIBILITY CRITERIA I. ELIGIBILITY OF APPLICANTS (2)

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- d) Belong to one of the following categories:
- Public and parastatal bodies below the central government level (except for EU MS), local authorities and consortia or representative associations;
- Private sector organisations;
- **Financial institutions** that grant, promote, and finance private investment in the partner countries and regions
- Non-State actors

NB: Grants may not have the purpose or effect of producing a profit for the Beneficiary or for any of the partners!

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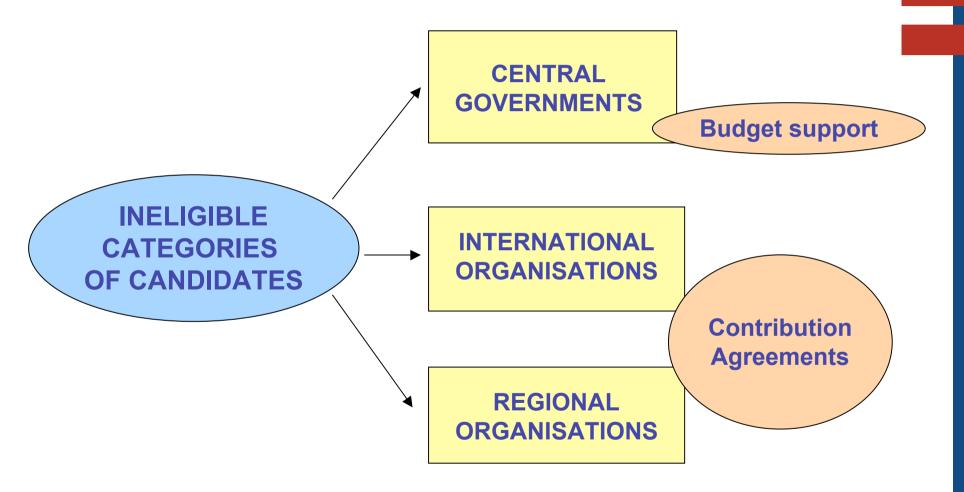
### ELIGIBILITY CRITERIA I. ELIGIBILITY OF APPLICANTS (3)

(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 at the following website:

http://ec.europa.eu/europeaid/work/procedures/impl
ementation/practical\_guide/index\_en.htm

### ELIGIBILITY CRITERIA I. ELIGIBILITY OF APPLICANTS (4)

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NB: EU Member States public bodies (ministries or other entities at the central government level) are eligible under this Call for Proposals

### ELIGIBILITY CRITERIA II. ELIGIBILITY OF PARTNERS (1)



NB: Applicants may act individually or in partnership and <u>partnership is encouraged</u>

#### **PARTNERS:**

- a) Participate in designing and implementing the action
- b) Must satisfy the same eligibility criteria as the applicants

### ELIGIBILITY CRITERIA II. ELIGIBILITY OF PARTNERS (2)

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The following categories are not considered partners and they do not have to sign the « partnership statement »:

#### A) ASSOCIATES

- play a real role in the action but may not receive funding from the grant with the exception of per diem and travel costs.
- do not have to meet the eligibility criteria mentioned above (section 2.1.1 of the Guidelines)

#### **B) SUBCONTRACTORS**

- are neither partners nor associates
- are subject to procurement rules set out in Annex IV to the standard grant contract

### ELIGIBILITY CRITERIA III. ELIGIBILITY OF THE ACTIONS (1)

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MEASURES TO IMPROVE
ACCESS TO
AGRICULTURAL INPUTS
AND SERVICES

Special attentionto local facilitiesand availability

**ELIGIBLE ACTIONS** 

SAFETY NET MEASURES

**→** 

Adressing the basic food needs of the most vulnerable populations

OTHER SMALL-SCALE MEASURES
AIMING THE COUNTRY NEEDS

Microcredit

Support professional groups

Infrastructure & Storage

Equipment

Investment

Vocational training

20



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#### **DURATION AND LOCATION OF THE PROJECT**

#### 1) DURATION

The implementation of all proposed actions should be finished by 31 OCTOBER 2011

#### 2) LOCATION

Actions must take place in/target one or more of the 35 eligible countries for this Call for Proposals

### ELIGIBILITY CRITERIA III. ELIGIBILITY OF THE ACTIONS (3)



#### **VISIBILITY AND MONITORING/EVALUATION**

#### 1) VISIBILITY

Applicants should include a communication and visibility strategic plan both in the Full Aplication and in the budget

http://ec.europa.eu/europeaid/work/visibility/index\_en.htm

#### 2) MONITORING AND EVALUATION

Foresee planning, human resources, budget, objectively verifiable indicators for the monitoring and evaluation of the action

### ELIGIBILITY CRITERIA III. ELIGIBILITY OF THE ACTIONS(4)



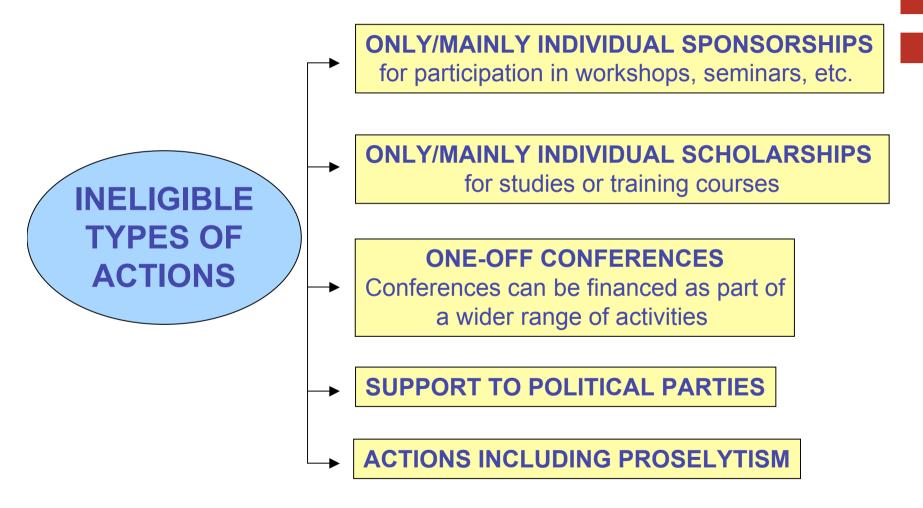
MICROCREDIT/ MICROFINANCE INITIATIVES

Additional eligibility criteria for this type of actions are presented in Annex M of the Guidelines.

NB: Make sure the application contains all the additional relevant information and documents in order to assess the eligibility of the applicant

### ELIGIBILITY CRITERIA III. ELIGIBILITY OF THE ACTIONS(5)

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### ELIGIBILITY CRITERIA III. ELIGIBILITY OF THE ACTIONS(6)

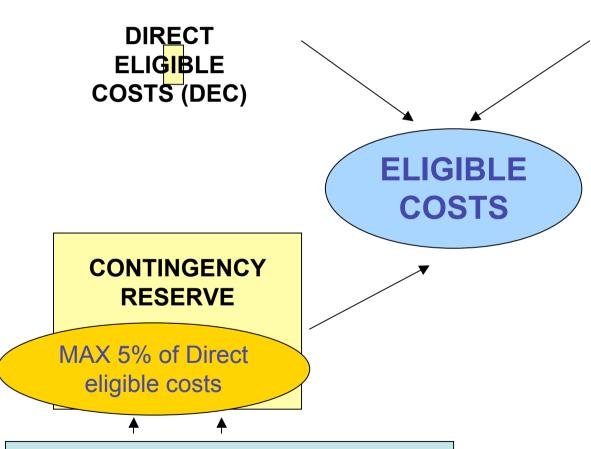


#### **NB: UNDER THIS CALL FOR PROPOSALS**

- An applicant may submit more than one proposal
- An applicant may be awarded more than one grant
- An applicant may at the same time be partner in other applications submitted
- Partners may take part in more than one application submitted

### ELIGIBILITY CRITERIA IV. ELIGIBILITY OF COSTS (1)

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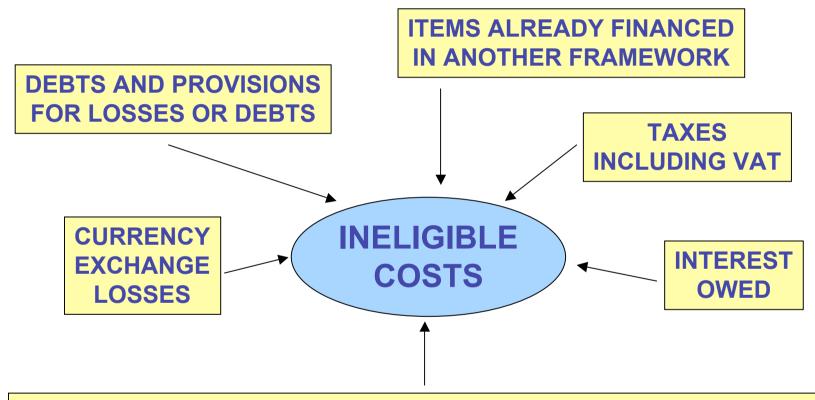
ELIGIBLE INDIRECT COSTS (OVERHEADS)

MAX 7% of Total eligible costs

**Prior written autorisation from the EC** 

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### **ELIGIBILITY CRITERIA IV. ELIGIBILITY OF COSTS (2)**



**PURCHASES OF LAND OR BUILDINGS**, EXCEPT WHERE NECESSARY FOR THE DIRECT IMPLEMENTATION OF THE ACTION – OWNERSHIP WILL BE TRANSFERED TO THE FINAL BENEFICIARIES/LOCAL PARTNERS

### **ELIGIBILITY CRITERIA IV. RETROACTIVITY**



• EXPENDITURE INCURRED BEFORE THE SIGNATURE OF THE CONTRACT IS IN PRINCIPLE INELIGIBLE

#### HOWEVER,

• EXPENDITURE INCURRED FROM THE DEADLINE OF SUBMISSION OF THE CONCEPT NOTE COULD EXCEPTIONALLY BE CONSIDERED ELIGIBLE AS LONG AS IT IS DULY JUSTIFIED AND PROVED INDISPENSABLE FOR THE IMPLEMENTATION OF THE PROJECT

#### **HOW TO APPLY: PROCEDURES TO FOLLOW**

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- ONE CENTRAL CALL
- TWO STEP PROCEDURE (RESTRICTED):
  - CONCEPT NOTE -> Pre-selection
  - FULL PROPOSAL -> For a limited number of high quality Concept Notes

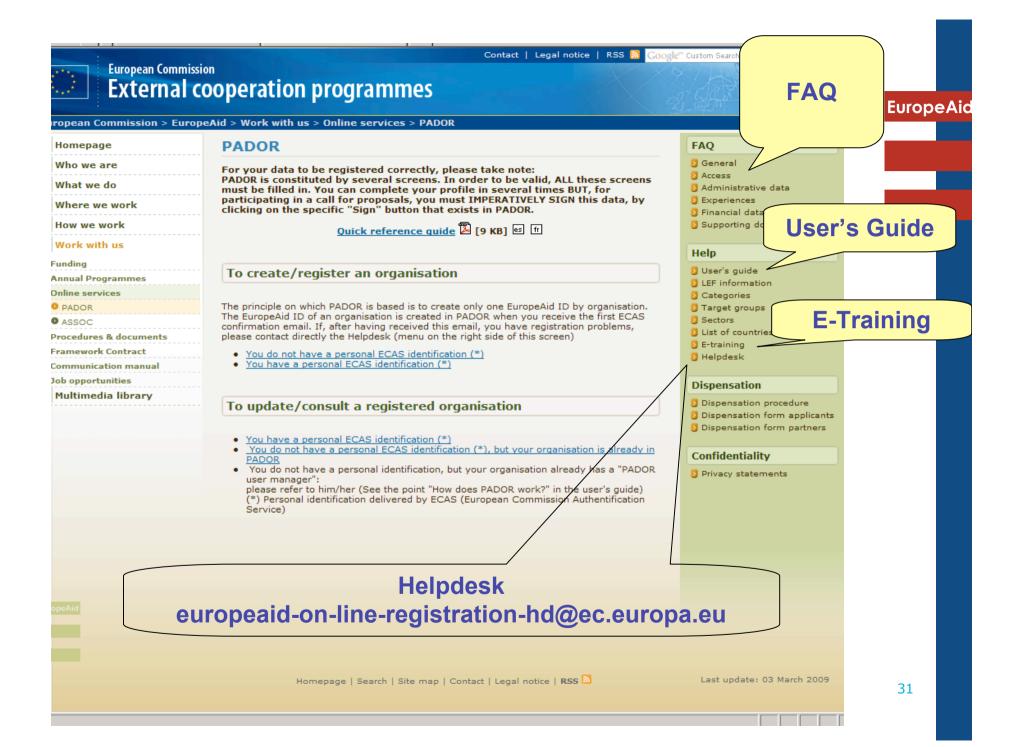
### HOW TO APPLY: PROCEDURES TO FOLLOW I. REGISTRATION IN PADOR (1)



PADOR: POTENTIAL APPLICANT DATA ON-LINE REGISTRATION

http://ec.europa.eu/europeaid/work/onlineservices/pador/index\_en.htm

- Data provided by organisations in PADOR is used by the EC for checking the eligibility of the organisations that participate in calls for proposals;
- Data concerns the organisation itself, it is not linked to a particular project proposal;
- BEFORE THE REGISTRATION, PLEASE CONSULT
  - Frequently Asked Questions;
  - The PADOR User's Guide;
  - The e-training.



### HOW TO APPLY: PROCEDURES TO FOLLOW I. REGISTRATION IN PADOR (2)

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REGISTRATION IN PADOR IS OBLIGATORY FOR BOTH APPLICANTS AND PARTNERS.

**APPLICANTS** – Must complete all the sections presented in PADOR with the exception of the section « Strategy and Methodology »

PARTNERS - Must complete all sections presented in PADOR
with the exception of the sections « Board of Directors » and
« Strategy and Methodology »

NB: ALL REQUIRED SUPPORTING DOCUMENTS SHOULD BE UPLOADED IN PADOR BY THE CONCEPT NOTE SUBMISSION DEADLINE

### HOW TO APPLY: PROCEDURES TO FOLLOW I. REGISTRATION IN PADOR (3)



#### PADOR DEROGATION PACK: ANNEX N1 & N2

- In case of objective impossibility to register...
  - Justification
  - The impossibility should be beyond of the control of the applicant/partner and of a general nature
- ...the applicant/partner can ask for a derogation...
  - The applicant/partner should provide, if possible, supporting documents for this request
- ...and must complete the PADOR derogation pack.
  - Found in Annex N1 & N2 of the Guidelines

### HOW TO APPLY: PROCEDURES TO FOLLOW II. CONCEPT NOTE CONTENT(1)



USE the Concept Note of The Grant Application Form (Annex A): to be downloaded from the EuropeAid website at:

https://webgate.ec.europa.eu/europeaid/online-

services/index.cfm?do=publi.welcome

### HOW TO APPLY: PROCEDURES TO FOLLOW II. CONCEPT NOTE CONTENT (2)



#### SUBMISSION:

#### **Concept Note**

&

**Checklist for the Concept Note** – Part A section III of the Grant

**Application Form** 

&

**Declaration by the applicant for the Concept Note** -Part A section

IV of the Grant Application Form

#### **EITHER**

ONE PAPER ORIGINAL + ELECTRONIC VERSION (CD-ROM/USB)

OR

#### E-MAIL

Confirmation email will be sent to applicant after submission

### HOW TO APPLY: PROCEDURES TO FOLLOW II. CONCEPT NOTE CONTENT(3)



#### LANGUAGES



#### BUDGET

- In the Concept Note, applicants are required to to provide only an estimate budget
- The detailed budget is only required in the Full Proposals
- The detailed budget should not vary from the initial estimate by more than 20%

# HOW TO APPLY: PROCEDURES TO FOLLOW III. FULL APPLICATION FORM (1)

### **APPLICATION DOCUMENTS**

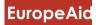
- FULL APPLICATION FORM Annex A, part B
- BUDGET Annex B
  - o Worksheet 1: « Budget of the Action »
  - Worksheet 2: « Expected sources of funding »
- LOGICAL FRAMEWORK Annex C

#### **CAN BE DOWNLOADED AT**

https://webgate.ec.europa.eu/europeaid/onlineservices/index.cfm?do=publi.welcome



# HOW TO APPLY: PROCEDURES TO FOLLOW III. FULL APPLICATION FORM (2)



#### SUBMISSION:

Full Application Form - Annex A part B

&

**Budget** - Annex B

&

**Logical Framework** - Annex C

#### **EITHER**

ONE PAPER ORIGINAL + ELECTRONIC VERSION (CD-ROM/USB)

OR

#### E-MAIL

Confirmation email will be sent to applicant after submission

# HOW TO APPLY: PROCEDURES TO FOLLOW III. FULL APPLICATION FORM (3)



#### LANGUAGES:

The Full Application form must be submitted in the same language as the Concept Note

#### BUDGET

- Detailed budgetary information should be provided using round figures ONLY in the Budget (Annex B)
- A variation higher than 20% from the estimate budget in the Concept Note should be duly justified in the Grant Application Form (Annex A, Part B, section II, point 2)

# HOW TO APPLY: PROCEDURES TO FOLLOW IV. CONCEPT NOTE AND FULL APPLICATION

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#### **ATTENTION**

- Any Concept Note/Full Application Form using the form relating to any other Call may be rejected;
- Any error or major discrepancy from the guidance given on the concept note may lead to rejection of the Concept Note/Full Application Form;
- Hand-written Concept Notes/Full Application Form will not be accepted;
- Concept Notes/Full Application Forms sent by fax or delivered to other addresses than indicated in the guidelines will be rejected;
- Incomplete applications may be rejected.

### HOW TO APPLY: PROCEDURES TO FOLLOW V. WHERE TO SEND APPLICATIONS

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### EuropeAid-FoodFacility@ec.europa.eu

#### **Postal Address**

European Commission EuropeAid Co-operation Office

Unit F4 –Finances, Contracts and Audit for thematic budget lines

Call For Proposals sector Office: L-41 03/154

B-1049 Brussels

**BELGIUM** 

#### Address for courier service

European Commission EuropeAid Co-operation Office

Unit F4 –Finances, Contracts and Audit for thematic budget lines

Call For Proposals sector Office: L-41 03/154 Central Mail Service Avenue du Bourget 1 B-1140 Brussels (Evère) BELGIUM

The outer envelope must bear the reference of the Call for Proposals, the full name and address of the participant and the words

« NOT TO BE OPENED BEFORE THE OPENING SESSION »

### HOW TO APPLY: PROCEDURES TO FOLLOW VI. DEADLINES FOR SUBMISSION



#### **CONCEPT NOTES**

- By E-mail: 24/06/2009 at 24:00 hrs (Brussels date and time);
- By registered mail and courier service: 24/06/2009 date at place of dispatch) as evidenced by postmark/deposit slip;

#### **FULL APPLICATION FORM**

 Deadline will be indicated in the letter sent to pre-selected applicants.

**NB:** Any Concept Note or Full Application Form sent after the deadline will be rejected.

### HOW TO APPLY: PROCEDURES TO FOLLOW VII. FURTHER INFORMATION

 Questions related to registration in PADOR: PADOR Helpdesk

Europeaid-on-line-registration-hd@ec.europa.eu

- Questions (other than PADOR)
   <u>EuropeAid-FoodFacility@ec.europa.eu</u>
  - -> Concept Notes : no later than 08/06/2009
  - -> Full Application Forms: no later than 21 days before deadline for submission
- Important notices will be published at:

https://webgate.ec.europa.eu/europeaid/onlineservices/index.cfm?do=publi.welcome

NB: The European Commission cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities

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# **EVALUATION & SELECTION OF APPLICATIONS Step 1: Opening session & administrative check of the Concept Note**

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- **Deadline**: deadline for submission of the Concept Note must be respected. Otherwise, the proposal will be rejected.
- **Administrative check**: Concept Note submitted must satisfy all administrative criteria included in the checklist (part.A, section III of the grant application form).

NB: Proposals with missing/incorrect information may be rejected on that sole basis.

→ Once the 1st step is completed, EC services will notify via email all applicants whether their proposals have been recommended for evaluation.

#### **EuropeAid**

## **EVALUATION & SELECTION OF APPLICATIONS Step 2: Evaluation of the Concept Note**

Key evaluation criteria: <u>relevance</u> and <u>feasibility</u> of the action

	Scores	
1. Relevance of the action	Sub-score	40
1.1 How relevant is the proposal to the <b>objectives</b> and <b>priorities</b> of the Food Facility Regulation?	5x3*	
1.2 How relevant to the particular <b>needs and constraints</b> of the target country/countries or region(s) is the proposal? Is the proposal complementary to and does it provide synergies with other food security activities in the country?	5x3*	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5x2*	
2. Feasibility	Sub-score	10
2.1 Is the action technically and organisationally feasible? Is the action logically consistent?	5	
2.2. Can the project be implemented within the <b>time-frame</b> established by this Call for Proposals?	5	
TOTAL SCORE		50

## **EVALUATION & SELECTION OF APPLICATIONS Step 2: Evaluation of the Concept Note (2)**



- Concept Note will be given an overall score out of 50
  points in accordance with the breakdown provided in the
  Evaluation Grid above.
- **Evaluation criteria** are divided into headings and subheadings.

**Each subheading** will be given a **score between 1 and 5** (in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good)

### **EVALUATION & SELECTION OF APPLICATIONS Step 2: Evaluation of the Concept Note (3)**



### 2 phases:

- -1st phase (minimal rating requirements): only the Concept Notes which have been awarded a <u>minimum of 25</u> <u>points in the 'relevance' section</u> as well as a <u>minimum of 5</u> <u>points in the 'feasibility' section</u> will be preselected;
- -2<sup>nd</sup> **phase**: the number of concept notes preselected after phase 1 will be further reduced in accordance with the ranking of those whose sum of requested contributions amounts to at least twice the available budget for this Call for Proposals (i.e. € 400 M).

### **EVALUATION & SELECTION OF APPLICATIONS Step 2: Evaluation of the Concept Note**

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**NB:** Only those who have passed successfully these 2 phases will be invited to submit Full Application forms.

# **EVALUATION & SELECTION OF APPLICATIONS Step 3: Opening session & administrative check of the Full Application Form**



- **Deadline**: deadline for submission of the Full Application Form must be respected. Otherwise, the proposal will be rejected.
- **Administrative check**: Full Application Form submitted must satisfy all administrative criteria included in the checklist (*part.B*, *section VI of the grant application form*).

NB: Proposals with missing/incorrect information may be rejected on that sole basis.

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### 1) RELEVANCE OF THE ACTION:

Score transfered from the Concept Note evaluation

- 1.1. Score in Concept Note on relevance to the Food Facility Regulation
- 1.2. Score in Concept Note on relevance to the needs of the country/region
- 1.2. Score in the Concept Note related to final target groups/beneficiaries and their needs

40

15

15

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### 2) OPERATIONAL AND FINANCIAL CAPACITY

10

2.1. Do the applicant and the partners (if any) have technical capacity to undertake the action?

E

2.2. Does the applicant have financial capacity to undertake the action?

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### 3) Methodology and Feasibility

20

3.1. Are the measures proposed appropriate, practical and logically consistent? In line with the Government's policies in the sector?

5

3.2. Does the proposal contain objectivly verifiable indicators? Time frame of the Food Facility? Evaluation foreseen?

5

3.3. Involvement of the partners sufficient for effective Results? (No partners: score = 1)

5

5

3.4. Does the proposal address cross-cutting elements?

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### 4. Sustainability of the action

$$5x3 = 15$$

Are the expected results of the proposed action sustainable?

- Socially and economically
- Financially
- Institutionally
- At policy level
- Environmentally (if applicable)

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5) Cost-effectiveness

15

5.1. Is the ratio between the estimated costs and the expected results satisfactory?

5

5.2. Are the tangible effects and impacts on beneficiaries/ target groups clearly indicated?

5

5.3. Are the activities appropriately reflected in the budget? Are cost levels appropriate?



#### **MAXIMUM TOTAL SCORE = 100**

- Proposals scoring below 60/100 will be rejected
- Proposals scoring below 6/10 in the « Operational and Financial capacity » section will be rejected

NB: Following the evaluation, the proposals will be ranked according to their score and a list of provisonally selected proposals will be established on the basis of the available financial envelope and a reserve list drawn up.

# **EVALUATION & SELECTION OF APPLICATIONS Step 5: Verification of eligibility of the applicant and partners**

#### **EuropeAid**

#### **VERIFICATION**

- Based on the supporting documents requested by the European Commission;
- Only performed for the proposals that have been provisionally selected according to their score;
- By cross-checking the Declaration by the applicant with the supporting documents provided;

#### **ELIGIBILITY**

• Will be verified according to the criteria set out in sections 2.1.1 and 2.1.2 of the Guidelines (see Eligibility);

### A REJECTED PROPOSAL WILL BE REPLACED BY NEXT BEST PLACED PROPOSAL ON THE RESERVE LIST.

### INDICATIVE TIMETABLE

**EuropeAid** 

- 26/05/2009 Publication of the Call for Proposals
- 24/06/2009 Deadline for submission of the Concept Notes
- 24/07/2009 Notification of results and invitation to submit Full Applications
- 24/09/2009 Deadline for submission of Full Application Forms
- End of October Notification of Final Awards

### **DISCLAIMER**

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The contents of this presentation do not replace the guidelines and application forms which are the only binding documents for the Call !!!