



## **European Commission**

# **Thematic Programme of cooperation with third countries in the areas of Migration and Asylum**

Restricted Call for Proposals 2011-2012

### **Guidelines for grant applicants**

Budget line 19 02 01

**Reference: EuropeAid**

Deadline for submission of Concept Notes:

**01 December 2011, 16:00 Brussels date and time**

# NOTICE

**Prior registration** by applicants and partners in EuropeAid's on-line database, PADOR, **available at** [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm), is obligatory under the present call for proposals (see section 2.2 below for details). Applicants must be registered before submitting the concept note, while partners must be registered prior to submission of the full application.

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

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form. Relevance constitutes the major criterion in pre-selection. Relevance will not be evaluated again when assessing the Full Application. Further to the evaluation of the Full Applications, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the European Commission and the signed Declaration by the Applicant

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# **1. THEMATIC PROGRAMME OF COOPERATION WITH THIRD COUNTRIES IN THE AREAS OF MIGRATION AND ASYLUM**

## **1.1 BACKGROUND**

In 2007, in the framework of the new Financial Perspectives for the period 2007–2013, a new thematic programme on cooperation with third countries in the areas of migration and asylum was created. The implementation of this thematic programme is based on Article 16 of Regulation (EC) No 1905/2006, establishing a financing instrument for development cooperation (DCI)<sup>1</sup>, and Article 2 of Regulation (EC) No 1638/2006, laying down general provisions establishing a European Neighbourhood and Partnership Instrument (ENPI)<sup>2</sup>.

On the 7 April 2011 the European Commission approved the multiannual strategy (2011-2013) for this thematic programme.

In accordance with the Financial Regulation and its Implementing Rules, the European Commission adopts an annual action programme of Community grants for each financial year.

The first call for proposal was launched in December 2007, under which out of the 335 concept notes received, 54 projects were finally approved for financing, for a total amount of about €62 million. The second one was launched in August 2009, under which 65 proposals were selected (out of 370 concept notes received) for a total amount of €75 million.

The present call for proposals, set up in accordance with the Thematic Programme's Multi-Annual strategy paper 2011-2013, is based on the annual action programme for 2011 and in part for 2012 (subject to approval of the 2012 budget).

## **1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES**

The present Call for Proposals has been prepared in accordance with the Thematic Programme's Multi-Annual strategy paper 2011-2013, taking into consideration past experience and lessons learnt and bearing in mind the concerns and recommendations identified by the Mid-Term Evaluation and a recent impact evaluation.

### **PROGRAMME OBJECTIVES**

The general objective of the thematic programme is to help third countries better manage all aspects of migratory flows in all their dimensions.

At thematic level, the programme is designed in particular to:

- foster the links between migration and development;
- promote well-managed labour migration<sup>3</sup>;
- fight irregular immigration and facilitate the readmission of illegal immigrants;
- promote migrants' rights, protect migrants against exploitation and exclusion, and support the fight against trafficking in human beings;
- promote asylum and international protection of refugees.

This programme will not finance operations designed to tackle directly the root causes of migration. That falls within the remit of the ENPI and the geographic programmes of the DCI and the European Development Fund (EDF), as well as other thematic programmes, which are better suited for this purpose. In addition, the thematic programme will not finance humanitarian operations, which come under Council

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<sup>1</sup> [http://ec.europa.eu/europeaid/what/delivering-aid/funding-instruments/documents/dci\\_en.pdf](http://ec.europa.eu/europeaid/what/delivering-aid/funding-instruments/documents/dci_en.pdf)

<sup>2</sup> [http://ec.europa.eu/world/enp/pdf/oj\\_1310\\_en.pdf](http://ec.europa.eu/world/enp/pdf/oj_1310_en.pdf)

<sup>3</sup> The term "labour migration" used in this document refers to the legal migration of workers.

Regulation (EC) No 1257/96 of 20 June 1996 concerning humanitarian aid. Nevertheless, actions funded under the thematic programme should be consistent with Community efforts to address all these issues.

In terms of geographical scope, all third countries covered by the European Neighbourhood and Partnership Instrument (ENPI), the Development Cooperation Instrument (DCI) and the European Development Fund (EDF) may be eligible for the thematic programme. Although its main subject is **migration to the European Union**, attention will be paid to all countries and regions confronted with important South-South migratory flows and the challenges posed by such movements.

The present call for proposal will be structured in a way which distinguishes the following regions:

- The South - Southern Mediterranean (Northern Africa), Sub-Saharan Africa and Middle East
- The East - Eastern Europe, (including the Southern Caucasus) and Central Asia
- Other regions (South, Southeast and East Asia, Pacific, Latin America and Caribbean)

### **PRIORITIES**

Taking into account lessons learnt, the decision has been taken to better focus the programme through a clearer definition of its geographic and thematic priorities, in order to avoid excessive fragmentation and spreading of resources.

Proposals should develop at least one of the "common" or one of the "specific" topics (point 1. and 2) and be coherent with the priorities identified in the 2011-2013 Multi-Annual Strategy Paper of the Thematic Programme. In particular **respect for the human rights of migrants, refugees and asylum seekers must be an important component of all the proposals**. Moreover attention should be paid to the South-South dimension of the migration flows.

The present call for proposal will pursue a double approach, combining the thematic with the geographic priorities as follows:

#### **1. Topics common to all the geographic lots:**

1. **Measures supporting the role of the** migrant women as a driving element for development and addressing their specific needs during the migration process; particular attention should be paid to the young women;
2. **Environmentally induced-migration:** Actions targeting specifically populations displaced, voluntarily or not, as a consequence of environmental degradation. Those actions can focus either on local research and data gathering, facilitating sustainable return or preventive relocation of populations affected by environmental degradation, integrate environmentally induced migration in legislative and administrative policy management frameworks, improving social and human development of populations migrating due to environmental degradation and defending their fundamental rights. Measures targeting specifically resilience or adaptation capacities of local communities won't be considered as a priority, as they should be covered by other EC cooperation instruments;
3. **Vulnerable groups especially unaccompanied minors:** support measures addressing the challenge posed by unaccompanied minors, namely awareness-raising programmes for children at risk or training of specialised personnel, as well as activities concerning return and reintegration in the country of origin;. protection of migrants' human rights, notably through; support to legislative development, awareness-raising and capacity building for the authorities;
4. Supporting complementary actions for implementation of **Mobility Partnerships** between the EU and EU Member States and third countries. Those actions should primarily focus on ensuring higher participation of civil society of the beneficiary country to the partnership process, or to provide technical assistance to third country authorities on the ongoing negotiations for a mobility partnership;

5. Fostering the links between **migration and development** in particular as regards measures aimed at enhancing the contribution of diasporas to the development of countries of origin, facilitating safer, easier and cheaper channels for remittances, promoting the circular movement of migrants, and addressing the issue of brain drain; economic/social consequences for migrant's families and impact of migration on the development both in the destination and origin countries
6. Helping countries of origin, transit and destination to develop tools and build capacities for **well-managed labour migration**, including through better dissemination of information on available channels for legal migration, as well as employment opportunities; development of intermediation establishments, cooperation between employment agencies from countries of origin and destination and look into the connection between national labour market opportunities and labour migration, including circular migration;
7. **Protection of migrants' human rights**, notably contribution to legislative development, through support to civil society organisations, prevention campaigns and capacity building for the authorities;
8. Actions aiming at **fighting against racism, xenophobia and discrimination** providing relief and assistance to vulnerable categories of migrants and to victims of trafficking and stranded migrants;
9. Promote **international protection** of refugees and asylum seekers by encouraging accession to international conventions, strengthening existing legislative frameworks, awareness raising and capacity building for return, integration or resettlement of refugees (including resettlement to the EU), as well as, where foreseen, through the development of Regional Protection Programmes; special focus on registration, reception and resettlement conditions, as well as measures aiming at protecting refugees against exploitation and mistreatment, racism and xenophobia;
10. Supporting complementary actions that contribute or facilitate the prevention and control of **irregular immigration** and the conclusion and implementation of readmission agreements; particular attention will also be paid for operation for complementary actions on the cooperation in the area of border management and surveillance.

## 2. Specific topics

### *Lot 1: The South - Southern Mediterranean (Northern Africa), Sub-Saharan Africa and Middle East*

#### *Specific topics:*

1. with regards to support the prevention and control of **irregular immigration** and the conclusion and implementation of readmission agreements priority will be indicatively given to the Southern Mediterranean countries;
2. as regards the **Middle East**, priority will be given to actions aiming at improving the protection of refugees and asylum seekers in Jordan, Lebanon, Syria and Yemen, and at facilitating their access to durable solutions, curbing irregular immigration, with a focus on prevention and control of smuggling of and trafficking in human beings, at protection of migrants' human rights.

### *Lot 2: The East - Eastern Europe (including the Southern Caucasus) and Central Asia*

#### *Specific topics:*

1. as far as the links between **migration and development** is concerned, particular focus will be given to countries highly dependent on migrants remittances such as Moldova, Ukraine, Armenia, Georgia, as well as to several Central Asian countries and to the promotion of the **circular movement** of migrants and addressing the issue of "brain drain" (particularly in the health and education sectors);
2. Supporting complementary actions that contribute or facilitate the conclusion and the further implementation of **readmission agreements** with the countries in the region, ensuring higher participation of civil society of the beneficiary country to the partnership process; initiatives that

provide technical assistance to third country authorities on the ongoing negotiation as well as actions regarding the reception of returnees and their sustainable reintegration in their community of origin.

**Lot 3: Other regions (South, Southeast and East Asia, Pacific, Latin America and Caribbean)**

Specific topics:

1. as far as **protection and assistance to refugees** is concerned, specific attention will be given in particular to the challenge posed by the flow of refugees and asylum seekers generated by the conflict in Afghanistan/Pakistan and to the possibility of developing a RPP in the region provided the necessary conditions are met;
2. concerning the strengthening of the cooperation with the EU **on labour migration**, mainly with the aim of helping various stakeholders in countries of origin, transit and destination to develop accredited and properly monitored intermediation establishments, the training of potential migrants, cooperation between national employment services and accredited reliable intermediation private agencies;
3. to help countries in the region, most particularly Island States, to develop tools and build capacities that enable them to adequately manage the challenges posed by **climate changes** and its impact on migratory flows, in particular measures to help these countries to develop tools and build capacities that enable them to adequately plan and manage the migration of their population as sea level gradually rises.

**Lot 4: Global actions**

Actions to be selected under this specific lot are **global initiatives**, which cannot by nature be linked to any specific geographical area, especially in the case of global advocacy campaigns or worldwide research programmes.

Projects aiming at implementing **pilot and innovative actions in selected countries** covering more than one of the geographical lots of this call are also eligible under this lot.

Specific topics:

**1. Gender:**

- a) the role of the women as driving element in the contribution of migration to development
- b) gender dimension of migration: global advocacy

**2. Climate change** :evidence gathering and impact on the national policy formulation

**3. Fight against Trafficking of Human Beings**

**4. Labour Migration (proposals should promote good governance in the sector)**

**3. Cross-cutting issues**

The proposals tackling and mainstreaming the following cross cutting issues (in particular during the identification and formulation phase) will be given a comparative advantage:

- Migrant centred-approach: initiatives focusing specifically on the individual needs of the migrant (from preparation to departure to sustainable return), addressing the social consequences on migrant's families and communities of origin.
- Gender dimension of migration
- Environmentally induced migration

### 1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is EUR **€74.000.000.00**, of which €36.000.000.00 from the EU budget for 2011, to which €38.000.000.00 will be added from the EU budget for 2012, subject to the approval of budget of 2012.

In addition, the amount of €5 000 000.00 from the 2011 budget reserved for Special Measures will be added to the overall budget for the Call for Proposals and in principle, depending on the quality of the proposals, allocated proportionally to each of the call lots, if no urgent unforeseen and duly justified needs or circumstances, related to natural disasters, civil strife or crises, and which cannot be funded under Regulation (EC) No 1717/ 2006 or Regulation (EC) No 1257/96, have been identified by the end of October for each relevant year.

The Contracting Authority reserves the right not to award all available funds.

#### Indicative allocation of funds by lot:

The 2011-2012 Call for proposals will be divided into four main lots.

The indicative allocations for each of the lots, according to the geographic priorities, will be as follows:

(1) *The South - Southern Mediterranean (Northern Africa), Sub-Saharan Africa and Middle East*

Budgetary allocation 2011	€17 000 000.00
Indicative budgetary allocation 2012	€18 000 000.00
<b>Total indicative amount 2011-2012</b>	<b>€35 000 000.00</b>

Under lot (1), special attention will be paid to the regions of Northern and Western Africa

(2) *The East - Eastern Europe, (including the Southern Caucasus) and Central Asia:*

Budgetary allocation 2011	€9 000 000.00
Indicative budgetary allocation 2012	€9 000 000.00
<b>Total indicative amount 2011-2012</b>	<b>€18 000 000.00</b>

(3) *Other regions (South, Southeast and East Asia, Pacific, Latin America and Caribbean):*

Budgetary allocation 2011	€6 000 000.00
Indicative budgetary allocation 2012	€7 000 000.00
<b>Total indicative amount 2011-2012</b>	<b>€13 000 000.00</b>

Under lot (3) an equal distribution of funds between the region of Asia and the region of Latin America and Caribbean will be ensured.



(4) *Global actions:*

Budgetary allocation 2011	€4 000 000.00
Indicative budgetary allocation 2012	€4 000 000.00
<b>Total indicative amount 2011-2012</b>	<b>€8 000 000,00</b>

In the case where the minimum percentage foreseen for a specific lot cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to another lot.

Size of grants

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

- minimum amount: EUR 500 000
- maximum amount: EUR 2 000 000

**In exceptional cases**, the European Commission is prepared to consider project proposals with a **grant request higher than 2.000.000 EUR, and up to a maximum amount of 5.000.000 EUR**, for Actions which can demonstrate a particular relevance to the priorities of the Call. In such cases, the applicant must provide explanations in the Concept Note, which will be examined in the context of the evaluation. In such case applications which receive more than 24 points in Relevance during the evaluation will be considered of particular relevance to the priorities of the Call.

If the grant request exceeds 2.000.000 EUR , the budget of the project proposal should foresee a mid-term external evaluation of the activities.

Actions should take into account the following elements:

1. promote an evidence-based approach
2. support the link between the institutional and operational level
3. develop strategies to maximise the impact of the funded initiatives
4. foresee a plan for the dissemination and capitalization of the results and all the documentation produced (e.g. researches, studies..)
5. ensure coordination/synergies with existing initiatives and avoid overlapping

Percentages of total eligible costs of the action

A grant may not exceed 100% of the total estimated eligible costs of the action (see also Section 2.1.4). Additionally, any grant requested under this Call for Proposal must further be limited to 80% of the estimated total accepted costs<sup>4</sup>. If there are no taxes or when they may be reclaimed, this percentage will apply to the total estimated eligible costs to ensure the required co-financing. The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund.

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<sup>4</sup> Estimated total accepted costs = estimated total eligible costs + taxes, including VAT, where the beneficiary can show it cannot reclaim them (unless one of the exceptions to the proof obligations indicated in Annex J applies).

**Exceptionally, and exclusively for actions proposed by local Non State Actors <sup>5</sup> established in third countries where the actions are implemented, the rate of EU co-financing can correspond to 90% of the total eligible costs of the action.**

The grant may exceptionally cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the applicant must justify full financing in Section 2.1 of Part B of the grant application form. In the case full financing is granted, the second percentage laid down above (relating to the estimated total accepted costs) will not apply.

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<sup>5</sup> DCI Regulation (EC) No 1905/2006 – art 24.2. The non-State, non-profit making actors eligible for financial support under this Regulation operating on an independent and accountable basis include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations, likely to contribute to the implementation of the objectives of this Regulation.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this Call, in conformity with the provisions of the Practical Guide to contract procedures for EU external actions, 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](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)).

The submission of proposal(s) implies the acceptance by the applicant(s) of all the terms and conditions as set out in the present Call for Proposals.

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

The afore-mentioned Practical Guide and the Glossary can be consulted at:

[http://ec.europa.eu/europeaid/work/procedures/implementation/practical\\_guide/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm)

In addition to the Glossary, the following definitions apply:

<b>Applicant</b>	the organisation responsible for submitting the application
<b>Partnership</b>	the grouping of organisations i.e. the main applicant and its partners for the purpose of implementing the proposed action
<b>Partner</b>	member organisation of the partnership other than the applicant
<b>Associate</b>	organisation that plays an active role in the action but which cannot benefit from funding under the grant
<b>Contractor</b>	organisation contracted by the beneficiary or its partner(s) in accordance with the appropriate procedures in order to execute specific tasks in implementing the action
<b>Sub-granting</b>	financial support that may be given to third parties by the beneficiary of the European Union grant where the implementation of the action so requires, subject to the conditions laid down in the Article 120 of the Financial Regulation and the Article 184a of the Implementing Rules of the Financial Regulation <sup>6</sup>

### 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 nationals<sup>7 8</sup> of a Member State of the European Union and Member States of the European Economic Area, one of the official EU candidate countries, a country in receipt of assistance under

<sup>6</sup> [http://ec.europa.eu/budget/documents/financial\\_regulation\\_en.htm](http://ec.europa.eu/budget/documents/financial_regulation_en.htm)

<sup>7</sup> 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.

Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA), or one of the beneficiary countries indicated under the sub-section entitled "Location" in Section 2.1.3. This obligation does not apply to international organisations **and**

- be non profit making **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- be specific types of organisations such as:
  - NSA<sup>9</sup>
  - international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation<sup>10</sup>
  - in the Beneficiary Countries<sup>11</sup>, Member States of the European Economic Area<sup>12</sup>, candidate countries formally recognised by the EU<sup>13</sup> and the other countries in receipt of assistance<sup>14</sup> under Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA)<sup>15</sup>:
    - **national public or parastatal bodies; agencies; regional<sup>16</sup> or local public bodies and authorities and consortia thereof or associations representing them<sup>17</sup> having a legal personality separate from the state or a ministry;**

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8 If the applicant's legal personality has been recognised in a country eligible under this section pursuant to the Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations (<http://conventions.coe.int/Treaty/Commun/QueVoulezVous.asp?NT=124&CM=8&DF=07/03/2011&CL=ENG>), the official evidence issued by the country concerned under the said Convention shall determine the nationality of the organisation.

<sup>9</sup> DCI Regulation (EC) No 1905/2006 – art 24.2. The non-State, non-profit making actors eligible for financial support under this Regulation operating on an independent and accountable basis include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations, likely to contribute to the implementation of the objectives of this Regulation.

<sup>10</sup> 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.

<sup>11</sup> See section 2.1.3.

<sup>12</sup> EU plus Liechtenstein, Iceland and Norway.

<sup>13</sup> Turkey, Croatia and the Former Yugoslav Republic of Macedonia.

<sup>14</sup> Albania, Bosnia-Herzegovina, Montenegro, Serbia and Kosovo.

<sup>15</sup> OJ L 210, 31.7.2006, p. 82.:

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0082:0093:EN:PDF>

<sup>16</sup> "Regional" should be understood as below national level.

<sup>17</sup> A formal consortium or association of local authorities may submit an application under the name of the legally constituted consortium or association. If the consortium is an informal grouping for the purposes of this call, the application must be submitted under the name of a lead local authority with the others acting as partners. See section 2.4 for the supporting documents to be provided in each case.

- **in the EU Member States:**
  - **national public or parastatal agencies, bodies or authorities and consortia thereof or associations representing them; or**
  - **regional or local agencies, bodies or authorities and consortia thereof or associations representing them;**

Furthermore, for proposed actions taking place exclusively in the least developed countries as defined by the OECD/DAC<sup>18</sup> reciprocal access shall be granted to OECD/DAC members<sup>19</sup>;

The above is without prejudice to the participation of categories of eligible organisations by nature or by localisation in regard to the objectives of the action to carry out.

(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 EU external actions (available from the following Internet address:

[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm));

In Part A section IV and, if applicable, in part B, section VII, 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

##### Partnerships

*In order to improve the projects' efficiency, the consortium should be composed by different typologies/categories of actors according to their specific role and level of responsibility vis-à-vis the planned activities. This division of labour maximises the specific competences of each partner of the consortium increasing the possibilities of achieving the set results.*

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. In addition to the categories referred to in section 2.1.1, the following are however also eligible:

- in the beneficiary countries, member states of the European Economic Area, countries in receipt of assistance under Council Regulation (EC) No 1085/2006 of 17 July 2006 establishing an Instrument for Pre-Accession Assistance (IPA), and candidate countries formally recognised by the EU:
  - **national public authorities.**
  - **profit-making entities (commercial and/or private-sector organisations), provided that they make no profit from the grant.**

<sup>18</sup> Annex II of the Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation (see footnote 1 for link).

<sup>19</sup> Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxemburg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States.

**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. Contractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract (see Annex F indicated in Section 3 of the present Guidelines).

- Sub-grantees

The grant beneficiaries may award financial support (sub-grants) to third entities (the sub-grantees). Sub-grantees are neither partners nor associates nor contractors. Sub-grantees are subject to the nationality and origin 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**

In accordance with the overall objectives and priorities set out in Section 1.2, all actions financed under this call for proposals must support the beneficiary countries' efforts to deal with migration and asylum-related issues in accordance with international agreements and standards on human rights.

An action may include more than one activity within the same lot.

**Location**

Actions must take place in one or more of the following countries:

All third countries covered by the European Neighbourhood and Partnership Instrument (ENPI)<sup>20</sup>, the Development Cooperation Instrument (DCI)<sup>21</sup> and the European Development Fund (EDF)<sup>22</sup> are considered eligible beneficiary countries for this call for proposals.

If duly justified by the nature of the action, certain activities may take place in non-eligible countries provided that these activities constitute only a **minor** part of the action and that they contribute **directly** to the objectives of the present call for proposals. To this end, **applicants must provide evidence that such activities add value to the action's results and include all the essential elements describing additional benefits for the main country/ies of action.**

The above adaptation of the eligibility and participation conditions will be applied in accordance with Articles 36 of the Development Cooperation Instrument (DCI)<sup>23</sup> and art 14 and 21 of Regulation (EC) No 1638/2006 establishing a European Neighbourhood and Partnership financing instrument.

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<sup>20</sup> These countries are listed in Annex K.

<sup>21</sup> These countries are listed in Annex L.

<sup>22</sup> These countries are listed in Annex M.

## **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.

## **Visibility**

Note that the applicant 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 laid down and published by the European Commission at (see [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)).

## **Monitoring and Evaluation**

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

### **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;
- 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 supporting political parties;
- actions including proselytism.

### **The following types of activity are ineligible:**

- microcredit (making loans, with or without interest).

### **Number of applications and grants per applicant**

An applicant may submit a maximum of 3 application(s) per lot under this Call for Proposals and might be awarded a maximum of 3 contracts per lot.

Partners may take part in more than one application.

In application of this rule, the regional and local offices of international organisations (without their own legal personality) may not be considered as applicants independent of the parent organisation.

The non respect of the above instructions by an applicant will result in the rejection of all the proposals submitted by that applicant for the lot concerned.

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

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Please

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<sup>23</sup> These countries are listed in Annex L.

note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of the EU 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 G of the Guidelines).

Note that taxes, including VAT will only be accepted as eligible costs when the Beneficiary (or, where applicable, its partners) can show it cannot reclaim them. Taxes shall in such case be included in the Budget of the Action under each heading Information on taxes can be found in Annex J to these Guidelines.

### **Contingency reserve**

A contingency reserve not exceeding 5% of the estimated 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 estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another heading of the budget of the standard grant contract. The applicant may be asked to justify the requested percentage before contracting. However, once the flat-rate has been fixed in the special conditions of the standard grant contract, no supporting documents need to be provided.

If the applicant is in receipt of an operating grant financed from the EU, 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.

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 debt service charges
- provisions for losses or potential future liabilities;
- interest owed;
- costs declared by the beneficiary and covered by another action or work programme;
- 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. Nevertheless, these may be considered as part of the estimated total accepted costs of the action for the purpose of co-financing where the Beneficiary (or the Beneficiary's partners) can



prove it cannot reclaim them. In such cases, the cost should be included in the Budget under the heading "taxes". Please note however that for the purpose of co-financing, taxes are the only ineligible costs that will be considered within the total accepted costs of the action. Information on taxes can be found in Annex J to these Guidelines

- credit to third parties.

## 2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form.

Registration in the PADOR system, available at

[http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm) is **obligatory** both for applicants and partners.

PADOR is an on-line database in which organisations register themselves and update regularly their data. Data provided by organisations in PADOR is used by the European Commission, for evaluating the operational and financial capacity criteria as well as for checking the eligibility of the organisations that participate in calls for proposals. This data concerns the organisation itself, it is not linked to a particular project proposal.

**Applicants must be registered before submitting the concept note, while partners must be registered prior to submission of the full application.** The EuropeAid ID number (assigned upon registration in PADOR) of the applicant organisation must be indicated in the Concept Note and the EuropeAid ID number of the partner(s) must be indicated in the Full application form.

Before starting the registration of your organisation in PADOR, the following should be consulted:

- the quick guide (that explains, on one page, the process of registration in PADOR);
- the Frequently Asked Questions;
- the PADOR user's guide.

These 3 documents are available on the website indicated above.

Notwithstanding the above, if the organisation is in a situation where it is impossible to register in PADOR, it shall submit a justification proving that such impossibility is of a general nature and goes beyond the control of the applicant and or its partner(s). In this case, the applicant and/or the partners concerned shall complete the "PADOR offline form" (Annex E to the present Guidelines) and send it by e-mail together with the Concept Note for the applicant or with the full application, for the partner(s). Subsequently, the registration in PADOR will be initiated by the European Commission. If, at a later stage, the organisation wishes to update itself its data, an access request will have to be sent to the PADOR helpdesk.

All questions related to the registration in PADOR should be addressed to **the PADOR help desk:**

[europeaid-pador@ec.europa.eu](mailto:europeaid-pador@ec.europa.eu)

### 2.2.1 *Concept Note content*

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

Applicants must apply in English, French. Applicants must apply in language most commonly used by the target population in the country in which the action takes place.

In the Concept note, the applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements assessed on the basis of the concept note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

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

Hand-written Concept Notes will not be accepted.

**Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. No additional annexes should be sent.**

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

Concept Notes **must** be submitted **by e-mail only** to the following address:

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

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

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Concept Note.

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

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

**Applicants must verify that their Concept Note is complete using the Checklist (Part A, section III of the Grant Application Form). Incomplete Concept Notes may be rejected.**

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

#### 2.2.3 *Deadline for submission of the Concept Notes*

The deadline for the submission of Concept Notes is 01/12/2011 **at 16.00 hrs** (Brussels date and time).

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

**Any Concept Note sent after the deadline will be rejected.**

**The applicant is solely responsible for following-up the delivery.** In addition to the automatic acknowledgment of receipt indicated in section 2.2.2 above, the European Commission will send a confirmation of reception on the date announced in the indicative calendar (see section 2.5.2) to the contact email indicated in the application form. If the applicant does not receive this confirmation on the said date, it must immediately contact the European Commission at the following email address: [EuropeAid-GlobalCalls@ec.europa.eu](mailto:EuropeAid-GlobalCalls@ec.europa.eu). The European Commission cannot be held responsible for the non-delivery of any proposal.

#### 2.2.4 *Further information for Concept Note*

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

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

The European Commission has no obligation to provide further clarifications after this date.

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

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox (see Section 2.5.2 – Indicative calendar).

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

Questions that may be relevant to other applicants, together with the answers as well as other important notices to applicants during the course of the evaluation procedure, may be published on the internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as the need arises. It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

All questions related to PADOR registration should be addressed **to the PADOR help desk:**  
[europeaid-pador@ec.europa.eu](mailto:europeaid-pador@ec.europa.eu)

#### 2.2.5 Full Application form

Applicants invited to submit a full application form following the pre-selection of the Concept Note must do so by using the the application documents annexed to the present Guidelines: Annex A, Part B – Full Application Form, Annex B – Budget and Annex C – Logical Framework. These can be downloaded from the EuropeAid website at the address indicated in section 2.2.1. Applicants should keep strictly to the format of the application form and fill in the paragraphs and the pages in order, taking care to use the correct application documents for this Call. Applications submitted on application documents relating to any other call **may be rejected**.

**Budgetary information concerning the action should be provided using round figures and be presented only in the Budget (Annex B).**

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

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

**Worksheet 2** – "Justification of the budget for the Action" (worksheet 2 must provide a narrative clarification of each budget item demonstrating the necessity of the costs and how they relate to the action and also a justification of the calculation of the estimated costs);

**Worksheet 3** – "Expected sources of funding" (worksheet 3 must indicate the amount and percentage of financing per source, i.e. requested EU contribution, applicant's contribution, any other donors' contributions, etc). NB. See section 1.3 for the rules on maximum percentage of EU contribution.

The amount of the requested EU contribution may vary in this detailed budget from the initial Concept Note estimate by not more than 20% but must still respect the limits indicated in section 1.3. Any variation higher than 20% should be duly justified in the Grant Application Form (Annex A, Part B, section II.2).

Applicants must submit their applications in the same language as their Concept Note.

The Full Application Form should be completed carefully and as clearly as possible to facilitate the evaluation. The reference number allocated to the Concept Note by the European Commission should appear on the cover page of the Full Application Form.

The elements contained in the Concept Note cannot be modified in the Full Application Form.

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

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

Hand-written applications will not be accepted.

The Full Application Form, the Budget and the Logical framework **must** be submitted **by e-mail**.

Each component of the application (Full Application Form, Budget and Logical Framework) must be submitted in a single, separate electronic file (for example, the application form must not be split into several different electronic files) and should not contain coloured or high resolution graphs, images or diagrams.

**Only the Full Application Form and the published annexes which must 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 supplementary annexes should be sent.**

#### *2.2.6 Where and how to send the Full Application form*

The Full Application Form **must** be submitted **by e-mail only** to the following address:

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

The subject field of the e-mail must bear the reference of the Call for Proposals, the name of the applicant organisation and the number allocated by the European Commission to the application at Concept Note stage.

The Applicant will receive an automatic acknowledgement of receipt following the submission of a Full Application.

This mailbox can **only** be used to submit Full Applications (see section 2.2.8 for the e-mail addresses to be used for sending questions).

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

The Checklist (Part B, Section VI of the Grant Application Form) and the Declaration by the applicant (Part B, Section VII of the Grant Application Form) must be enclosed in the e-mail.

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

#### *2.2.7 Deadline for submission of the Full Application form*

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been preselected.

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 EC cannot be held responsible for delay due to such afore-mentioned difficulties.

Any Full Application Form sent after the deadline will be rejected.

#### *2.2.8 Further information for the Full Application form*

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

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

Replies will be given no later than 11 days before the deadline for the submission of the Full Application Forms.

The European Commission has no obligation to provide further clarifications after this date.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox (see Section 2.5.2 – Indicative calendar).

**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, may be published on the internet at 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 help desk:**  
[europeaid-pador@ec.europa.eu](mailto:europeaid-pador@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.

While the procurement procedure is under way, all contacts between the contracting authority and candidates or tenderers must satisfy conditions ensuring transparency and equal treatment; they may not lead to amendment of the conditions of the contract or the terms of the original tender. No information about the examination, clarification, evaluation or decisions about the contract award can be disclosed before the signature of the contract(s). Any attempt by a tenderer or applicant to influence the process in any way (whether by initiating contact with members of the Evaluation Committee or otherwise) may result in the immediate exclusion of its tender or proposal from further consideration.

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 & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

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 Concept Note satisfies all the criteria specified in points 1-5 of the Checklist (Section 2 of Part A 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.

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the action.

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.

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**

<b>1. Relevance of the action</b>	Sub-score	<b>30</b>
1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2*	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including <u>synergy with other EU initiatives and avoidance of duplication</u> )	5x2	
1.3 How clearly defined and strategically chosen are those involved (partners, final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain specific added-value elements such as the cross-cutting issues as indicated under point 1.2. sub-point 3	5	
<b>2. Design of the action</b>	Sub-score	<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*	

**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.

First, only the Concept Notes which have been given a score of a minimum of 30 points will be considered for pre-selection.

**For applications requesting over 2 million EUR**, only Concept Notes which have been given a minimum score of **more than 24 points in Relevance** will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to at least twice the available budget for this Call for Proposals, taking into account the indicative financial envelopes foreseen by lot.

Following the Concept Note evaluation, 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 the Concept Note were evaluated and the results of that evaluation. The preselected applicants will subsequently be invited to submit full applications.

## **STEP 2: EVALUATION OF THE FULL APPLICATION**

First, the following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-8 of the Checklist (Section 6 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.

**An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the applicant and its partners, will be subsequently 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. 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**

<b>Section</b>	<b>Maximum Score</b>
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicant and, if applicable, partners have sufficient experience on 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
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<i>For applications requesting over 2 million EUR, only applications which have been given a minimum score of more than 24 points in Relevance will be considered for pre-selection.</i>	
<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 an evaluation foreseen?	5
3.4 Is the partners' 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 and extension of the outcome of the action and dissemination of information.)	5



4.3 Are the expected results of the proposed action sustainable: - financially ( <i>how will the activities be financed after the funding ends?</i> ) - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local “ownership” of the results of the action?</i> ) - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> ) - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	5
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
<b>Maximum total score</b>	<b>100</b>

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

*Note on Section 1. Financial and operational capacity*

If the score is less than 12 points for section 1, 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.

### **(3) STEP 3: 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 7 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:<sup>24</sup>

Supporting documents may/must be provided through PADOR, see Section 2.2

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<sup>24</sup> No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

1. The statutes or articles of association of the applicant organisation<sup>25</sup> and of each partner organisation<sup>26</sup>. 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.<sup>27</sup> 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/financing/international\\_organisations/other\\_international\\_organisations/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_international_organisations/index_en.htm)
2. Where the grant requested exceeds EUR 500 000 (EUR 100 000 for an operating grant), an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.  
  
This obligation does not apply to international organisations.  
  
This obligation does not apply to public bodies.
3. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)<sup>28</sup>.
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.
5. A financial identification form conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

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 one of the languages 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 one of the languages of the call for proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's eligibility, into one of the languages of the call for proposals.

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<sup>25</sup> 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

<sup>26</sup> Where Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations is applied please refer to footnote **n. 9**.

<sup>27</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

<sup>28</sup> 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.

**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*

Preliminary information on the main milestones in the procedure for this call for proposals is available in the table "Ongoing Global Calls for Proposals" under Thematic Programmes on the following EuropeAid webpage: [http://ec.europa.eu/europeaid/work/funding/index\\_en.htm](http://ec.europa.eu/europeaid/work/funding/index_en.htm)

After the Concept Note submission deadline, a detailed indicative calendar will be published on the same EuropeAid webpage as the other documents relating to this call for proposals:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

and will be updated in the course of the evaluation procedure, as necessary.

## **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 grant contract (see Annex G 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 grant 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 the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide to contract procedures for EU 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 standard grant 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

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (PDF FORMAT) See document **E3e** 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)

ANNEX E: PADOR OFFLINE FORM (ONLY IF IMPOSSIBLE TO REGISTER IN PADOR AND ALSO FOR NATURAL PERSONS) [http://ec.europa.eu/europeaid/work/online-services/pador/dispensation\\_en.htm](http://ec.europa.eu/europeaid/work/online-services/pador/dispensation_en.htm)

#### DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD CONTRACT (WORD FORMAT) See documents from **E3h\_1** to **E3h\_10** 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)

**E3h\_1** SPECIAL CONDITIONS

**E3h\_2** - ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS

**E3h\_3** - ANNEX IV: CONTRACT AWARD PROCEDURES

**E3h\_4** - ANNEX V: STANDARD REQUEST FOR PAYMENT

**E3h\_5** - ANNEX VI: INTERIM NARRATIVE REPORT

**E3h\_6** - ANNEX VI: FINAL NARRATIVE REPORT

**E3h\_7**- ANNEX VI: FINANCIAL REPORT

**E3h\_8** - ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS

**E3h\_9**- ANNEX VIII: MODEL FINANCIAL GUARANTEE

**E3h\_10** - ANNEX IX: STANDARD TEMPLATE FOR TRANSFER OF OWNERSHIP OF ASSETS

ANNEX G: FINANCIAL IDENTIFICATION FORM

See document **E3f** 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)

ANNEX H: DAILY ALLOWANCE RATES (PER DIEM):

[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

ANNEX I: STANDARD CONTRIBUTION AGREEMENT, applicable in case where the beneficiary is an international organisation

[http://ec.europa.eu/europeaid/work/procedures/financing/international\\_organisations/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/index_en.htm)

ANNEX J: INFORMATION ON THE TAX REGIME APPLICABLE TO GRANT CONTRACTS SIGNED UNDER THE CALL.

ANNEX K: PROJECT CYCLE MANAGEMENT at

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

ANNEX L : LIST OF THIRD COUNTRIES COVERED BY THE ENPI

ANNEX :M LIST OF THIRD COUNTRIES COVERED BY THE DCI

ANNEX N : LIST OF THIRD COUNTRIES COVERED BY THE EDF