



Contracting Authority: EU Delegation to Namibia

**European Instrument for Democracy &
Human Rights (EIDHR):
Country-Based Support Schemes (CBSS)
NAMIBIA**

PUBLISHED UNDER THE SUSPENSIVE CLAUSE

**Guidelines for Grant Applicants
Restricted Call for Proposals 2012/2013**

Budget line 19-04-01

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**Deadline for submission of Concept notes:
7th March 2013**

NOTICE

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants who have been pre-selected will be invited to submit a Full Application Form. After the evaluation of the Full Applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed 'Declaration by the Applicant' sent together with the application.

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1. EUROPEAN INSTRUMENT FOR DEMOCRACY AND HUMAN RIGHTS (EIDHR): COUNTRY BASED SUPPORT SCHEMES

1.1. BACKGROUND

The legal basis for the successor programme to the European Initiative for Democracy and Human Rights under the Financial Perspective 2007-2013 was adopted by the European Parliament and the Council in December 2006. Regulation (EC) N°1889/2006, which entered into force on 1 January 2007, establishes a self-standing financing instrument for the promotion of democracy and human rights worldwide entitled European Instrument for Democracy and Human Rights (EIDHR).

The European Commission has drawn up a Strategy Paper 2011-2013 for the implementation of the EIDHR. Objective 2 of this Strategy Paper is identified as ‘Strengthening the role of civil society in promoting human rights and democratic reform, in supporting the peaceful conciliation of group interests and in consolidating political participation and representation’. Under this objective, all human rights concerns - political, civil, economic, social and cultural - and all aspects of democratisation may be considered.

The objective 2 will be implemented primarily through country-based support schemes (CBSS) through the organisation of calls for proposals managed by the Delegations of the European Union in third countries. CBSS are designed to support small-scale and innovative actions by civil society organisations in the field of human rights and democracy.

The EIDHR Strategy Paper 2011-2013 identifies five distinct objectives:

1. Enhancing respect for human rights and fundamental freedoms in countries and regions where they are most at risk.
2. Strengthening the role of civil society in promoting human rights and democratic reform, supporting the peaceful conciliation of group interests and consolidating political participation and representation.
3. Supporting actions on human-rights and democracy issues in areas covered by EU guidelines, including dialogues on human rights, human-rights defenders, the death penalty, torture, and children and armed conflict.
4. Supporting and strengthening the international and regional frameworks for the protection of human rights, justice, the rule of law and the promotion of democracy.
5. Building confidence in and enhancing the reliability and transparency of democratic electoral processes, in particular through election observation.

The objective of the EIDHR CBSS Annual Action Plan 2012 is to support civil society in third countries in working on human rights (political, civil, economic, social and cultural) and democratisation, so as to:

- i) pursue common agendas for human rights and democratic reform
- ii) build towards consensus on disputed or controversial areas of policy
- iii) enhance political representation and participation
- iv) enhance the inclusiveness and pluralism of civil society
- v) support activities aimed at promoting the issues covered by EU guidelines on Human Rights.

1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

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

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

The **global objective** of this Call for Proposals is to assist civil society in Namibia to develop greater cohesion in working on human rights, political pluralism and democratic political participation and representation.

The **specific objective** of this Call for Proposals is to finance actions to be implemented by local CSOs whose mission is the defence and promotion of Human Rights and democratic reforms towards a more inclusive and pluralist society, by contributing to the peaceful conciliation of group interests and peace building, combating discrimination on any ground, contributing to conflict prevention and developing equal participation of men, women and children in social, economic and political life.

Proposals can address one or all of the following **priorities**:

1. Promotion of Democratic Governance and the rule of law

- Consolidation of democratic processes, institutions and political participation and pluralism.
- Support to civil society organisations' activities preparing the ground for elections, including civic and voter education, promotion of dialogue and training between political actors, and promotion of training of the election's monitors and observers.
- Develop "local ownership" of democratic processes, enhance involvement/participation and promote political tolerance for a more equitable society.
- Strengthen social accountability and transparency at all levels towards greater application of HR principles (e.g. support structures and mechanism enabling social and democratic dialogue) and supporting CSOs in their watchdog role.
- Fight against impunity and promote the independence of justice and proper and transparent legal proceedings.
- Ensure legal support to victims of human rights violations.

2. Enhance dialogue and raise awareness on human rights and democratic reforms:

- Foster awareness among the Namibian population about access to, and protection of HR (e.g. civic education, children's participation).
- Enhance linkages between individuals, communities, Government and other service providers in the promotion of human rights.
- Foster dialogue, participation and critical thinking, nationally and locally, with a specific focus on the grassroots levels on matters related to political, social, economic and cultural debate, from a human rights perspective.
- Promote freedom of expression and the freedom and independence of the press.
- Promotion of Economic, Social and Cultural Rights (ESC) and the implementation of the legislation.

Partnership is strongly encouraged and for all actions submitted by applicants having a nationality other than that of Namibia, partnership with local partner(s) from Namibia is compulsory. When possible and relevant, association with administrative authorities and agencies at national, regional and local levels; local authorities and other decentralised organisms is encouraged

1.3. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is €600.000. The Contracting Authority reserves the right not to award all available funds. This amount is subject to the adoption of the EIDHR Annual Action Plan 2013 by the budgetary Authority.

Size of grants

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

- minimum amount: EUR 50,000

- maximum amount: EUR 200,000

Any grant requested under this Call for Proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- Minimum percentage: 50 % of the total eligible costs of the action.
- Maximum percentage: 95 % of the total eligible costs of the action for Namibian applicants and 70% for non Namibian applicants (see also Section 2.1.4).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund¹.

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide 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).

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- The applicant, the entity submitting the application form, if any, its co-applicant(s) (where it is not specified otherwise the applicant and the co-applicant(s) are hereinafter jointly referred as the "*applicants*") (2.1.1), and, if any, their affiliated entity(ies) (2.1.3);
- projects for which a grant may be awarded (2.1.3);
- types of cost that may be taken into account in setting the amount of the grant (2.1.4).

<h4>2.1.1. <i>Eligibility of applicants (i.e. applicant and co-applicant(s))</i></h4>

(1) In order to be eligible for a grant, the applicant must:

- be legal persons **and**
- be non-profit-making **and**
- be specific types of organisations such as: non-governmental organisations, public sector operators, local authorities, international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation². However, in case of a multi-beneficiary grant, an International Organisation cannot be the applicant **and**

1 Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

2 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

- be nationals of Namibia or be established in³ a Member State of the European Union, in accession or official candidate country as recognised by the EU **and**
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- be able to demonstrate to have regularly carried out activities in the field of Human Rights of the kind covered by this programme during the past three years prior to the submission of the proposal.

(2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations 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);

Part A, section 3 of the grant application form ('Declaration by the applicant'), the applicant must declare that the applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The applicant may act individually or with co-applicant(s).

Co-applicant(s) participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the applicant.

Co-applicant(s) must satisfy the eligibility criteria as applicable to the applicant himself.

If awarded the Grant contract, the applicant and (if any) the co-applicants will become the Beneficiaries in the Action. In particular, the applicant will become the Beneficiary identified as the Coordinator in annex E3h1 (Special conditions). The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other Beneficiary (if any) and coordinate the design and implementation of the Action.

2.1.2. Associates and Contractors

The following are not co-applicant(s) nor affiliated entity(ies) and do not have to sign the "mandate" or "affiliated entities' 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. Associates must be mentioned in Part B section 5 — 'Associates of the Applicant participating in the Action' — of the Grant Application Form.

- Contractors

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

International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.

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

2.1.3. *Affiliated entities*

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

The following entities may be considered as affiliated entities to the applicant or to the co-applicant(s):

- (i) legal entities together forming one legal entity, including where it is specifically established for the purpose of implementing the action. In this case, the resulting legal entity may apply as a single applicant or co-applicant.
- (ii) legal entities having a link with the applicant, notably a legal or capital link, which is neither limited to the action nor established for the sole purpose of its implementation on the condition that they satisfy the eligibility and non-exclusion criteria of an applicant.

Affiliated entity(ies) to the applicant and of the co-applicant(s) participate in designing and implementing the action. The costs incurred by affiliated entity(ies) are eligible in the same way as those incurred by the applicant and by the co-applicant(s) respectively. If awarded the Grant contract, affiliated entity(ies) (if any) will not become the Beneficiaries in the Action

Affiliated entity(ies) must satisfy respectively the eligibility criteria as applicable to the applicant and to the co-applicant(s).

2.1.4. *Eligible actions: actions for which an application may be made*

Definition:

An action is composed of a set of activities.

Duration

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

Sectors or themes

Action must fall under the terms and priorities described in section 1.2 of these Guidelines (Objective of the Programme and Priority Issues).

Location

Actions must take place in Namibia. In the framework of this Call for Proposals, actions taking place in more than one country are not eligible.

Types of action

Financial support under this Call for Proposal must be aimed at supporting actions, i.e. coherent and self-contained sets of activities designed to achieve a specific objective listed under chapter 1.2 above within a specific time frame. Only actions that pursue the objectives and priorities described under section 1.2 of these Guidelines could be eligible under this Call for Proposals.

Types of activity

Only activities that are necessary for the achievement of the expected results of the actions can be included in the proposals. Such activities can include (non exhaustive list of examples):

- Civic and voter education, promotion of dialogue and training between political actors, and promotion of training of the election's monitors and observers.
- Activities for strengthening of existing civil society platforms, networks and coalitions, including building of information sharing mechanisms.
- Joint activities with public institutions and parliamentary bodies to improve access to information on HR.

- Activities for the institutionalisation of consultation mechanisms between civil society and national or local public institutions.
- Enhancing CSOs capacities in collecting data and engaging in research-based advocacy.
- Capacity building to develop and enhance monitoring and watchdog activities.
- Advocacy campaigns at grassroots levels towards an inclusive society.
- Awareness raising public communication, civic education activities to secure application of HR principles.
- pilot activities in selected domains for which the Government of Namibia made specific commitments (e.g. sexual violence, discrimination against women, improvement of gender equality) Such activities should have a clear 'lessons learned' and/or multiplier potential.

All actions should also include a budget for Monitoring and Evaluation. For grants above EUR 100,000 a budget for a final audit should be foreseen. For the final audit, the applicants should be assisted by an auditing company which should undertake the expenditure verification in accordance with Annex VII of the Standard Contract (See Annex F7 of the Guidelines).

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at http://ec.europa.eu/europeaid/work/visibility/index_en.htm).

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions involving microfinance/revolving funds for microcredit initiatives;
- one-off conferences. Conferences may be funded only if they form part of a wider range of activities to be implemented in the project timeframe;
- actions which consist exclusively or primarily in capital expenditure, infrastructures, e.g. land, buildings, equipment and vehicles, except in special circumstances;
- actions supporting political parties;
- actions including proselytism.

Number of applications and grants per applicant

The applicant may not submit more than 1 application under this Call for Proposals.

The applicant may not be awarded more than 1 grant under this Call for Proposals.

The applicant may not be a co-applicant or an affiliated entity in another application at the same time.

A co-applicant may not submit more than 1 application under this Call for Proposals.

A co-applicant may not be awarded more than 1 grant under this Call for Proposals.

A co-applicant may not be an affiliated entity in another application at the same time.

The affiliated entity(ies) may take part in more than one application.

2.1.5. Eligibility of costs: costs that can be included

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

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

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

Simplified cost options may take the form of:

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

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

The applicant proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to "UNIT RATE" (per month/flight etc), "LUMPSUM" or "FLAT RATE" in the Unit column. (see example in Annex K)

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount⁴
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

It is therefore in the 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).

Contingency reserve

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

Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7% of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The applicant may be asked to justify the percentage requested before the contract is signed. 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 any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

Contributions in kind

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

Contributions in kind may not be treated as co-financing. However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the Beneficiary(ies) and financed by another action or work programme receiving a Union (including through EDF) grant;
- 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 Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

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

- **Phase 1, concept note:** Registration in PADOR is obligatory for applicants for grants above €60 000.

Registration is optional but recommended for:

- applicants for grants of €60 000 or less;
 - their affiliated entity(ies).
- **Phase 2, full proposal:** Registration in PADOR is obligatory for all pre-selected applicants and all their affiliated entity(ies).

PADOR is an on-line database in which organisations register and update their data regularly, through the EuropeAid website: http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

Before starting to register your organisation in PADOR, please read the ‘Quick guide’ on the website. It explains the registration process.

It is strongly recommended to register in PADOR when you start drafting your proposal and not to wait until just before the deadline of submission.

On the paper version of the proposal you must give your EuropeAid ID (EID). To get this ID, your organisation must enter PADOR to register, save and ‘sign’ certain obligatory data (the fields shown in orange on each screen) and the related documents (see section 2.4).

However, if it is impossible for the organisation to register in PADOR, it must submit a justification proving that this impossibility is general and beyond the control of the applicants and/or its affiliated entity(ies). In such cases, the applicants and/or affiliated entity(ies).concerned must complete the ‘PADOR off-line form’⁵ attached to these Guidelines and send it by the submission deadline, together with the application, to the address indicated in sections 2.2.2 and 2.2.6. The registration in PADOR will then be carried out by the European Commission service in charge of the CfP. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

All questions related to registration in PADOR should be addressed to the PADOR helpdesk at: Europeaid-pador@ec.europa.eu.

2.2.1. Concept Note content

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

Applicants must apply in English.

In the Concept Note, applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority and an indicative percentage of that contribution in relation to the total amount of the Action. Only the applicant invited to submit a full application in the second phase will be required to present a detailed budget. The elements outlined in 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%. Applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines in section 1.3. Own contributions by the applicants can be replaced by other donors' contributions at any time.

5 Which corresponds to Sections 3 and 4 of Part B of the application form.

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

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

Hand-written Concept Notes will not be accepted.

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

2.2.2. Where and how to send Concept Notes

The Concept Note together with the Checklist for the Concept Note (Part A section 2 of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section 3 of the grant application form) must be submitted in one original and 3 copies in A4 size, each bound.

An electronic version of the Concept Note must also be submitted. A CD-Rom with the Concept Note in electronic format will be included, along with the paper version, in a sealed envelope as described below. The electronic file must contain **exactly the same** application as the paper version enclosed.

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

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

Postal address

Delegation of the European Union to Namibia
P.O. Box 24443
Windhoek
Namibia

Address for hand delivery or by private courier service

Delegation of the European Union to Namibia
#2 Newton Street
Windhoek
Namibia

Concept Notes sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section 2 of the grant application form). Incomplete concept notes may be rejected.

2.2.3. Deadline for submission of Concept Notes

The deadline for the submission of Concept Notes is 7 March 2013 as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 15h00 hours local time as evidenced by the signed and dated receipt. Any Concept Note submitted after the deadline will be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any Concept Note sent in due time but received after the effective date of approval of the Concept Note evaluation (see indicative calendar under section 2.5.2)

2.2.4. Further information about Concept Notes

Two information sessions on this Call for Proposals will be held on the **28th and 29th January 2013 from 8h15 to 17h00 in the European Union Delegation (2, Newton Street, Windhoek)**. Please confirm your attendance and your preferred date (28th or 29th) to the following email address indicating the reference of the call for proposal.

E-mail address: delegation-namibia@eeas.europa.eu

Questions 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: delegation-namibia@eeas.europa.eu

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

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

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of applicants, or affiliated entity(ies), an action or specific activities.

Questions that may be relevant to other applicants, together with answers and other important notices in the course of the evaluation procedure, will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> (searching by call reference 133-619) and on the EU Delegation website <http://eeas.europa.eu/delegations/namibia/>, as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

2.2.5. Full Application forms

An applicant invited to submit a full application form following pre-selection of their Concept Note must do so using Part B of the application form annexed to these Guidelines (Annex A). Applicants should then keep strictly to the format of the application form and fill in the paragraphs and pages in order.

The elements outlined in the Concept Note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20 %, although applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.3.

Applicants must submit their applications in English.

Please complete the full application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section 6 of the Grant Application form) or any major inconsistency in the full application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

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

2.2.6. Where and how to send Full Application forms

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

Postal address

Delegation of the European Union to Namibia
P.O. Box 24443
Windhoek
Namibia

Address for hand delivery and by private courier service

Delegation of the European Union to Namibia
#2 Newton Street
Windhoek
Namibia

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected.

Applications must be submitted in one original and 3 copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and single file (i.e. the full application form must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version.

The Checklist (Section 6 of Part B of the grant application form) and the Declaration by the applicant (Section 7 of Part B of the grant application form) must be stapled separately and enclosed in the envelope.

The outer envelope must bear the **reference number and the title of the Call for Proposals**, the full name and address of the applicant, and the words 'Not to be opened before the opening session'.

Applicants must verify that their application is complete using the checklist (Section 6 of Part B of the grant application form). Incomplete applications may be rejected.

2.2.7. Deadline for submission of Full Application forms

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

However, for reasons of administrative efficiency, the Contracting Authority may reject any application sent in due time but received after the date of approval of evaluation report for full applications (see indicative calendar under Section 2.5.2)

2.2.8. Further information about Full Application forms

Questions 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: delegation-namibia@eeas.europa.eu

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> (searching by call reference 133-619) and on the EU Delegation website <http://eeas.europa.eu/delegations/namibia/>. It is

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

2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the Contracting Authority with the possible assistance of external assessors. All actions submitted by applicants will be assessed according to the following steps and criteria.

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the application will be rejected on this sole basis.

(1) STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, 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 Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed action.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on the Concept Note, which can be found in Part A of the Application Form.

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

Scores

1. Relevance of the action	Sub-score	30
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 synergy with other EU initiatives and avoidance of duplication)?	5x2*	
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?	5	
1.4 Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?	5	
2. Design of the action	Sub-score	20
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

*A score of 5 (very good) will only be allocated if the proposal specifically addresses the two priorities as indicated in Section 1.2 (Objectives of the programme) of these guidelines

**These scores are multiplied by 2 because of their importance

Once all Concept Notes have been assessed, a list will be drawn up with the proposed actions ranked according to their total score.

First, only the Concept Notes with a score of at least 30 will be considered for pre-selection.

Secondly, the number of Concept Notes will be reduced, taking account of the ranking, to the number of Concept Notes whose total aggregate amount of requested contributions is equal to 250% of the available budget for this Call for Proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot.

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation. The pre-selected applicants will subsequently be invited to submit full applications.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, 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.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteria help to evaluate the applicant(s)'s and the co-applicant(s) 's operational capacity and the applicant's financial capacity and to ensure that they:

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

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

Scoring:

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

Evaluation Grid

Section	
1. Financial and operational capacity	Yes/No
1.1 Do the applicants and, if applicable, affiliated entity(ies) have sufficient experience of project management?	
1.2 Do the applicants and, if applicable, affiliated entity(ies) have sufficient technical expertise? (especially knowledge of the issues to be addressed.)	
1.3 Do the applicants and, if applicable, affiliated entity(ies) have sufficient management capacity? (including staff, equipment and ability to handle the budget for the action)?	
1.4 Does the applicant have stable and sufficient sources of finance?	
	Maximum Score
2. Relevance of the action	30

<i>Score transferred from the Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication, extension and information sharing.)	5
4.3 Are the expected results of the proposed action sustainable?: - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>) - environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	5
5. Budget and cost-effectiveness of the action	15
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
Maximum total score	80

*these scores are multiplied by 2 because of their importance

Note on Section 1. Financial and operational capacity

If the answer is negative to one or more of the criteria, the application will be rejected.

Provisional selection

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available. In addition, a reserve list will be drawn up following the same criteria to be used if more funds should become available during the validity period of the reserve list.

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

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 applicants, the affiliated entities(ies), and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

Any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope.

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

An applicant that has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their affiliated entity(ies)⁶. Supporting documents must be provided through PADOR, see Section 2.2:

1. The statutes or articles of association of the applicants⁷ and of each affiliated entity(ies) . Where the Contracting Authority has recognised the applicants' eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicants may submit, instead of its statutes, a copy of the document proving eligibility in a former Call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime⁸. 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
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds €750 000 (€100 000 for an operating grant),

This obligation does not apply to public bodies and international organisations 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.

6 No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

7 Where applicants and/or (a) affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

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

3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)⁹.
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants, accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
5. A financial identification form of the applicant conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the applicant is established. If the applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

The requested supporting documents must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. 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 English, a translation into English of the relevant parts of these documents proving the applicant(s)'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 English, 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 English.

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.

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

2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1. *Content of the decision*

The applicant will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision.

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

2.5.2. *Indicative timetable*

⁹ This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and 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.

	DATE	TIME*
Information meeting (you can select your preferred date)	28/01/2013	8h15/17h00
	29/01/2013	8h15/17h00
Deadline for requesting any clarifications from the Contracting Authority	14/02/2013	
Last date on which clarifications are issued by the Contracting Authority	22/02/2013	
Deadline for submission of Concept Notes	07/03/2013	15h00
Information to applicants on opening, administrative checks and concept note evaluation (Step 1)	01/05/2013*	
Invitations to submit Full Application Form	01/05/2013*	
Deadline for submission of Full Application Form	20/06/2013*	15h00
Information to applicants on the evaluation of the Full Application Form (Step 2)¹⁰	02/09/2013*	
Notification of award (after the eligibility check) (Step 3)	01/10/2013*	
Contract signature	15/11/2013	

***Provisional date.** All times are in the time zone of Namibia.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> (searching by call reference 133-619) and on the EU Delegation website <http://eeas.europa.eu/delegations/namibia/> and on the EU Delegation website.

2.6. CONDITIONS FOR IMPLEMENTATION AFTER 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 agrees, if awarded a grant, to accept the contractual conditions of the standard grant contract.

¹⁰ Notifications to the applicant on the outcome of the evaluation of their applications must take place within 6 months following the submission deadline of the full application, save in exceptional cases, in particular for complex actions, large number of proposals or where there have been delays attributable to the applicants where this limit may be exceeded. Multi-beneficiary calls can be considered as complex actions calls and therefore may benefit from an exemption to the 6 month rule. The 6 months rule only applies in case of direct centralized management.

In case of a mono-beneficiary 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(ies) and its affiliated entity(ies) (if any) 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, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- 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
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

their personal details (name, given name (if natural person), address, legal form and name and given name of the persons with powers of representation, decision-making or control (if legal person)) may be registered in the EWS only or both in the EWS and CED, and communicated to the persons and entities listed in the above-mentioned Decision and Regulation, in relation to the award or the execution of a grant agreement or decision.

3. LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

- Annex A: Grant Application Form (Word format)
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Excel format)
- Annex D: Legal Entity Sheet
- Annex E: Financial identification form
- Annex F: PADOR off Line Form

DOCUMENTS FOR INFORMATION

- Annex G: Standard Grant Contract
 - Annex II: General conditions applicable to european union-financed grant contracts for external actions
 - Annex IV: contract award procedures

- Annex V: standard request for payment
- Annex VI: model narrative and financial report
- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
- Annex VIII: model financial guarantee (not applicable)
- Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (Per diem), available at the following address:
http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm

Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

Annex I: Standard Contribution agreement, applicable if the Beneficiary is an International organisation

Annex J: Information on the tax regime applicable to grant contracts signed under the call.

Project Cycle Management Guidelines

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