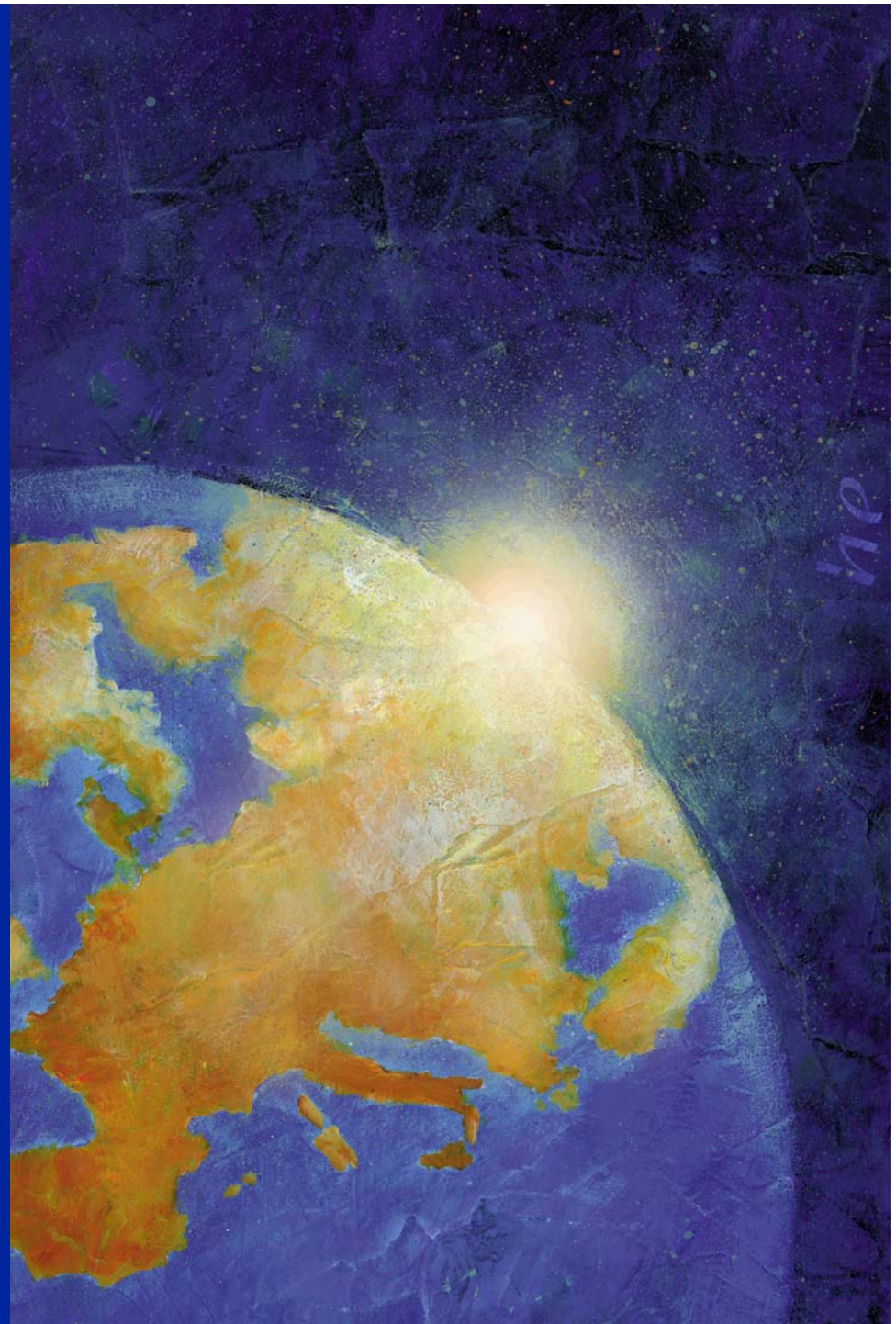


**2011**

**Call for proposals  
Non-State Actors in  
Development**



Delegation of the  
European Union  
to Russia





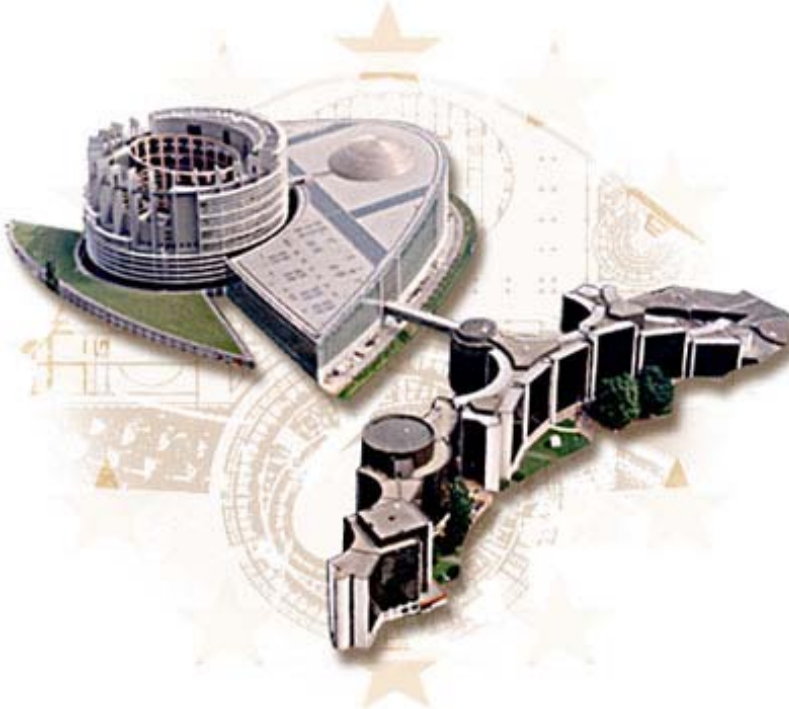
# Non-State Actors in Development

## Generally:

- to promote inclusive and empowered society in partner countries by supporting actions of local organisations

## Specifically in Russia

- Increase number of NSA networks in specific issues;
- Improve the role of NSA in public oversight;
- Replicate success stories in the regions;
- Contribute in professionalization of NSAs

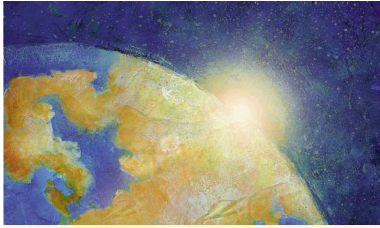




# **Non-State Actors in Development**

## **Former IBPP Programme 2002-2009:**

- **From funding of diverse actions to promotion of dialogue & partnership among NSAs; between NSAs, authorities and business on pressing issues of social importance**
- **Result: real impact by NSAs in the area of social policy (e.g. inclusive education, social integration of the disabled, accessible transport, de-institutionalisation)**



# **Non-State Actors in Development**

## **Restricted Call for proposals**

**Launch: 08 August 2011**

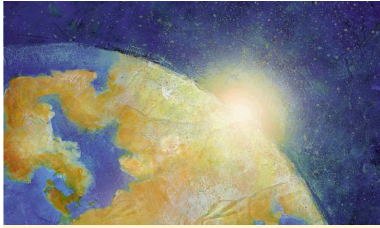
**Budget: 2 mln EUR**

**Concept Notes deadline: 06/10/2011**

**Invitation full applications: 11/2011**

**Contracting: Spring 2012**



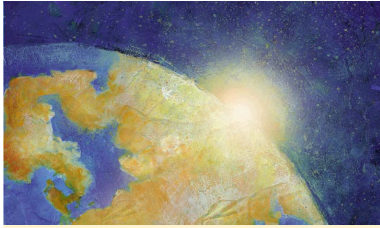


# Non-State Actors in Development

**The global objective of this Call for Proposals:  
to strengthen and improve governance,  
transparency and performance of Russian  
NSAs**

Specific objectives of this Call for Proposals:

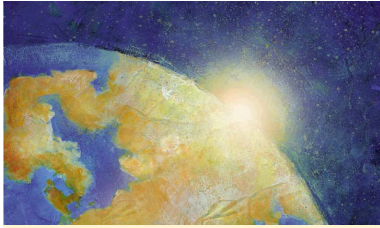
- To improve NSA effectiveness and accountability;
- To ensure capacity building of NSAs that will strengthen their role in decision making;
- To foster partnerships, networking, alliances of NSAs, Local Authorities and other stakeholders, including NSAs from the EU



# Non-State Actors in Development

The proposed action (project) should address at least one of the following priorities:

- Improvements in service provision for disadvantaged groups of population
- Development of sustainable fundraising capacity of NSAs
- Improvement of transparency, accountability, good governance of NSAs
- Networking, multi-stakeholder initiatives



# **Non-State Actors in Development**

## **Window 1: Micro-projects**

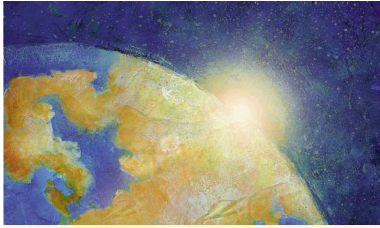
**Minimum amount: EUR 25,000**

**Maximum amount: EUR 75,000**

## **Window 2: Macro-projects**

**Minimum amount: EUR 100,000**

**Maximum amount: EUR 300,000**

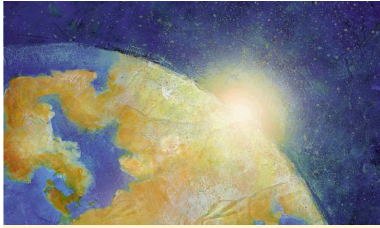


# Non-State Actors in Development

## Window 2:

- Sub-granting is strongly encouraged
- A Russian applicant (without EU partner) should demonstrate that it has sufficient experience and expertise in its chosen area





# Non-State Actors in Development

- Total budget:  
€2 000 000
- Duration of a project  
from 18 to 30 months



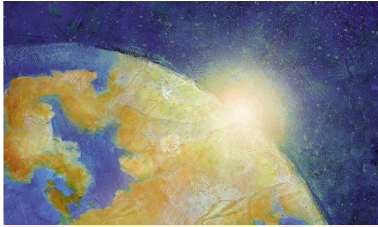
# Non-State Actors in Development

## EU contribution:

- from **50%** to **100%** of the estimated eligible costs of the action

## Any grant is further limited to:

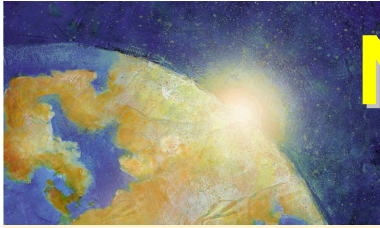
- 90% of total accepted costs for Russian NSAs
- 75% of total accepted costs for applicants from the EU



# **Non-State Actors in Development**

## **Eligible applicants/partners:**

- Legal entity**
- Non profit**
- Non-state actors**
- Directly responsible for preparation and implementation of the action**
- Be national of a Member State of the EU/the Russian Federation**

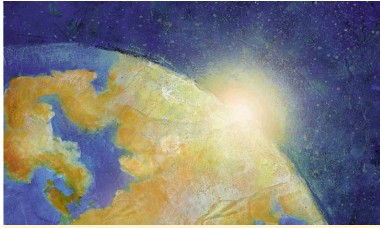


# Non-State Actors in Development

Applications can be submitted by eligible organisations from **ANY** EU Member State and from **ANY** region of the Russian Federation

But the Action must take place in Russia

A very limited number of activities can take place in EU Member States.

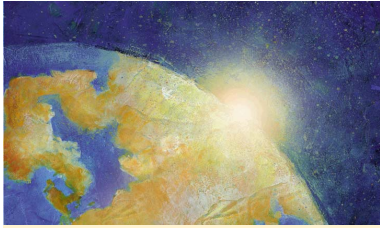


# Non-State Actors in Development

## Partnerships

**Window 1:** No partnership is required

**Window 2:** A partnership with at least two organisations from Russia!



# Non-State Actors in Development

## Partnerships

If an applicant is an EU organisation, it should include a Russian NSA as a partner

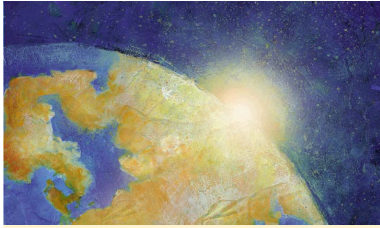




# Non-State Actors in Development

## Partnerships

- Maximum number – 4 partners per application, in addition to the applicant
- Sign Partnership Statements
- Must satisfy the same eligibility criteria as applicants



# Non-State Actors in Development

**Other organisations which may be included:**

**Associates**

- ❖ do not need to meet eligibility criteria
- ❖ must be mentioned in the Grant Application Form

**Contractors**

- ❖ subject to the procurement rules set out in Annex IV to the standard grant contract

**Sub-grantees**

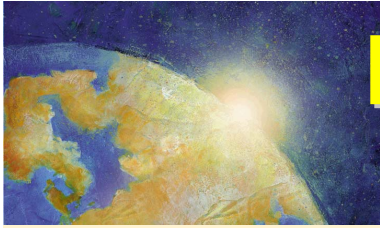
- ❖ Sub-grantees are subject to the nationality and origin rules set out in Annex IV to the standard grant contract



# **Non-State Actors in Development**

## **Preference will be given to proposals:**

- **Based on innovative & creative approaches**
- **Using best practices in the same area**
- **Based on cooperation among stakeholders**
- **Containing measures for multiplication and sustainability of outcomes**



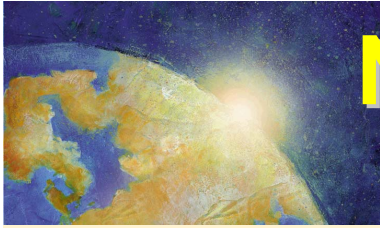
# Non-State Actors in Development

**Non-eligible actions are:**

**Commercial or profit making activities**

**+**

- ↗ Only or mainly individual sponsorship for participation in seminars, etc.**
- ↗ Only or mainly individual scholarships or research**
- ↗ One-off event**
- ↗ Core activity**
- ↗ Only or mainly production and maintenance of websites, production of magazines and newspapers, organisation of conferences or seminars, production of studies or reports;**
- ↗ Supporting individual political parties, proselytism, discriminative actions**



# Non-State Actors in Development

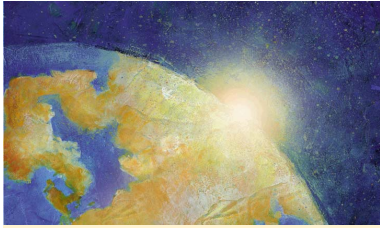
## Number of applications and grants per applicant

An applicant may not submit more than one application under this Call for Proposals.

An applicant may not be awarded more than one grant under this Call for Proposals.

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

Partners may take part in more than one application



# Non-State Actors in Development

## How to apply

**Restricted Call for Proposal: two phases**

**Phase 1 – Concept note**

**Phase 2 – Full proposal**

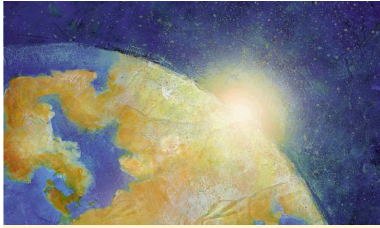
**BUT start the procedure with PADOR!**

<http://ec.europa.eu/europeaid/work/online-services/>

[pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/online-services/pador/index_en.htm)



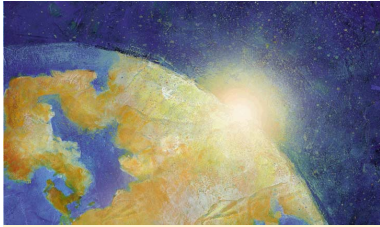




# Non-State Actors in Development

## Registration in PADOR

- ❖ **PADOR** – Potential Applicants' Database Online Registration
- ❖ Registration and updating by applicants/partners themselves
- ❖ Used by EU for checking the eligibility of applicants/partners
- ❖ Registered organisations obtain the **EuropeAid ID**, which has to be indicated in the application
- ❖ In the phase of CN only applicants are obliged to be registered
- ❖ In the second phase registration in PADOR is obligatory for all pre-selected applicants and partners
- ❖ Supporting documents for applicant and partners must be also uploaded
- ❖ If problems with registration / document uploading, a derogation request should be sent to the EU 21 days before the deadline for submission.

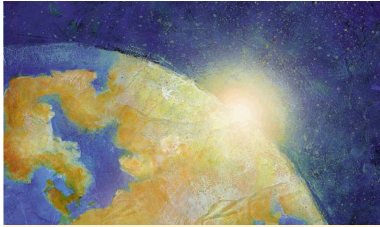


# Non-State Actors in Development

## Concept Note:

- In English ONLY
- Annex A, Grant Application Form (Part A)
- Max. 5 pages of text
- Brief but interesting and logical presentation of the project, its relevance, target groups, final beneficiaries and added value
- + Checklist and Declaration by the Applicant.
- Budget estimate: indicate only the total project cost and the requested EU grant amount
- One original + one paper copy + electronic copy
- Deadline for submission: **06 October 2011**
- Questions may be sent by email until **15 September 2011**

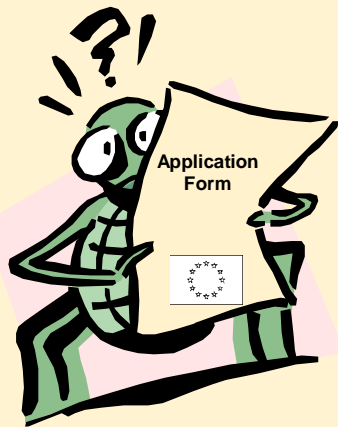
**Applicants whose CNs are evaluated positively,  
will be invited to present a full proposal**

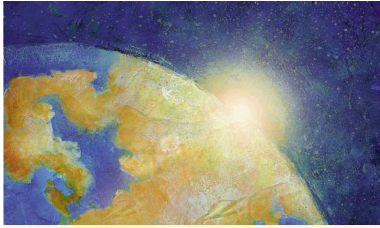


# Non-State Actors in Development

## Full application:

- In English ONLY
- Annex A, Grant Application Form (Part B) – ap. 30 page text
- Annex B – Budget
- Annex C - Logical Framework
- Annex K – Communication and Visibility Plan
- + Checklist, Declaration by the Applicant, Partnership Statements.
- One original + one paper copy + electronic copy
- Elements assessed in the concept note CANNOT be modified in the full application form.
- EU contribution may not vary from the initial estimate by more than 20%
- The applicant can adapt the percentage of co-financing within the minimum and maximum amount and percentages of co-financing





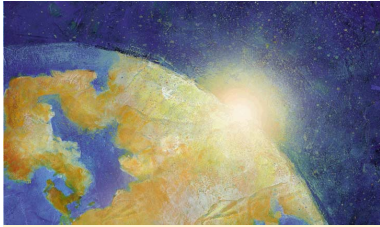
# Non-State Actors in Development

## Evaluation Process

Selection of concept notes and full applications is done by the EU Delegation Evaluation Committee

Evaluation is based on pre-defined criteria set in the guidelines

As a result of the evaluation a table of applications ranked according to their score and within the available financial envelope will be established + a reserve list



# Non-State Actors in Development

## Evaluation Process

### STEP 1:

Opening session

Administrative check

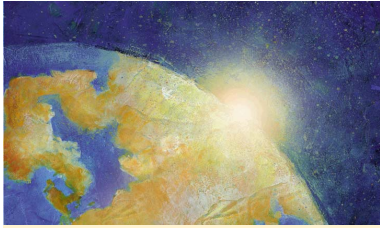
Concept Note evaluation - a list of preselected actions is set up for the double available budget (4 mln)

### STEP 2:

Evaluation of the full application

### STEP 3:

Verification of eligibility of the applicant and partners



# Non-State Actors in Development

## Evaluation Grid

### Concept Note:

1. Relevance of the Action – max 30 scores
2. Design of the Action – max 20 scores

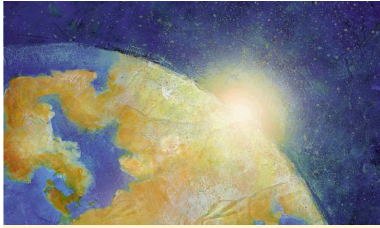
**Maximum scores – 50**

### Full Application:

1. Financial and operational capacity of the applicant and partners – max 20 scores
2. Relevance of the action – max 30 scores (transferred from the Concept Note evaluation)
3. Effectiveness and feasibility of the Action – max 20 scores
4. Sustainability of the Action – max 15 scores
5. Budget and cost-effectiveness of the action – max 15 scores

**Maximum scores - 100**





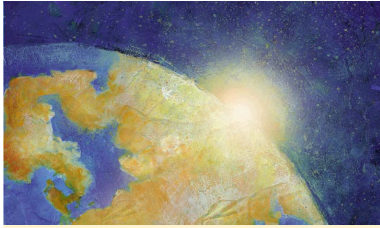
# Non-State Actors in Development

## Supporting documents

- ❖ The statutes (Applicant + Partners)  
Only Applicant:
- ❖ Copy of the latest accounts
- ❖ Legal Entity Form accompanied by  
justifying documents (e.g. in Russia -  
registration certificates from the RF Tax  
Ministry )
- ❖ Financial identification Form

### A REMINDER:

All supporting documents have to be  
uploaded in PADOR



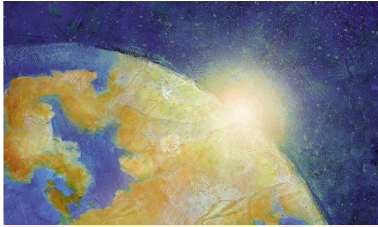
# **Non-State Actors in Development**

## **Administrative requirements**

- ❖ **Respecting the deadline**
- ❖ **Sealed envelope + all inscriptions**
- ❖ **Signatures + stamps**
- ❖ **One original + one paper copy + CD**
- ❖ **All questions to be sent by email**

**Indicative deadline for notification of award:  
March 2012**

**Contract signature :  
April 2012**



# Hints for Budget Estimation

- ❖ Read Guidelines for Applicants, General conditions (annex II), Footnotes of Budget for the Action (annex III), Procurement rules (annex IV) of Standard grant contract before drafting Budget.
- ❖ Reflect only eligible realistic costs.
- ❖ The Budget must cover all costs of the Action, not just the CA contribution.
- ❖ **Human Resources:**

All persons indicated here must be staff of the Applicant or partners: i.e recruited on labour contracts. NO consultants are possible under this heading. All consultants (both legal entities and individuals) should be under heading 5.

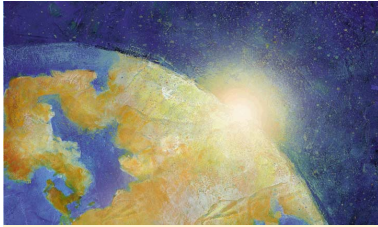
Salaries should correspond to actual gross salaries including all social security charges and should not exceed the ones normally borne by Applicant/partners.

Technical staff - are project coordinators, managers, experts in different fields, etc , administrative - support staff (secretaries, accountants, drivers, etc).

“Local staff” means staff placed in the project location (e.g. staff of a Russian partner, if the project location is Russia).

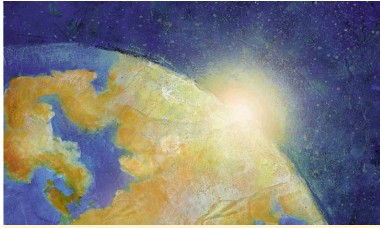
Please do not indicate names of staff and experts in the budget, indicate positions only.

If accommodation/meals for conference participants are paid directly to the hotel or restaurant, it is recommended to include them into the “cost of the conference” under heading 5.



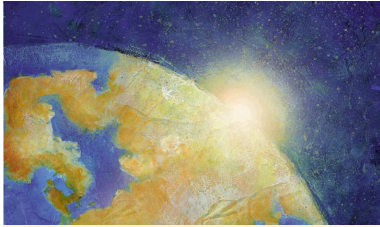
# Hints for Budget Estimation

- ❖ **Travel**  
Local transportation does not include daily transportation within the place of operation. Local transportation means travel within the home country. No costs are allowed under local transportation for seminar/conference participants if the conference takes place at the city where they live.
- ❖ **Equipment and supplies**  
Only equipment specifically needed for the purposes of the project may be included. Please specify whether purchase or rent of vehicle is planned (if any). Pls specify what equipment will be purchased (if any). Purchase/rent of equipment and vehicles is subject to the rules and procedures described in Annex IV to the grant contract.
- ❖ **Other costs, services**  
All sub-contracted services/works should be shown here (consultants, experts, web-design, etc.). No names/titles of consultants can be indicated in the budget, as they are subject to selection procedures described in Annex IV. Please use "copy" as a unit for "publications".
- ❖ **General issues**  
Using a special annex to the Budget, please provide a narrative clarification of each budget item demonstrating the necessity of the costs and their relation to the Action. Provide a justification of the calculation of the estimated costs as well.
- ❖ **Kick-off conference**  
Please foresee up to 1500 EUR for participation of up to three project representatives in a Programme kick-off conference in Moscow. The budget should explicitly mention this cost as "participation in the kick-off conference".



# Grants' Financial Management

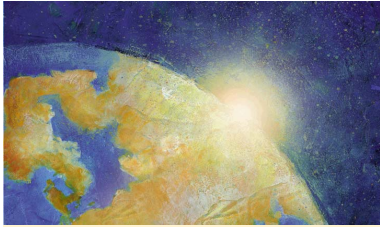
- ❖ **Payment scheme** is set out in Article 4 of the Special conditions of grant contract.
- ❖ **First pre-financing** is paid within 45 days, as from the reception date of the signed contract.
- ❖ **Requests for further pre-financing payments** (if any) should be sent on a 12 month basis accompanied by Interim Narrative and Financial reports. Further pre-financing will only be made provided that the EU contribution to the expenditure reported in the Interim Financial report is at least 70% of the first pre-financing payment (and at 100% of any previous payments).
- ❖ **The total sum of pre-financing payments** under the contract may not exceed 90% of the amount referred to in Article 3.2 of Special conditions.



# Grants' Financial Management

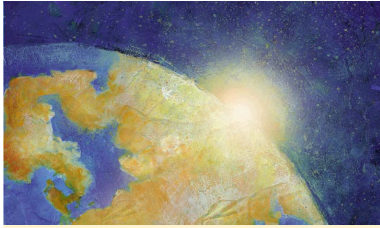
- ❖ **Balance payment** – on approval of the final reports (Financial & Narrative).
- ❖ **Final reports** shall be forwarded within 3 (6) months following the end of the implementation period of the Action.
- ❖ Actions above 100,000 EUR must be accompanied by an **Expenditure Verification report** issued by the auditor (named in the contract) using format of Annex VII. The auditor must confirm and attest the accuracy of your Final Financial report by signing all pages of report.
- ❖ For interim and final financial reports special templates to be used (those will be sent along with the guidelines on financial reporting at the stage of 1<sup>st</sup> pre-financing).





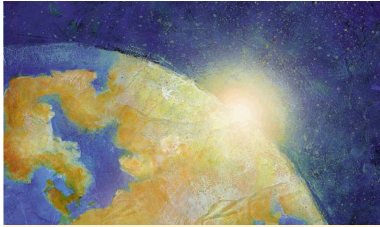
# Grants' Financial Management

- ❖ **The Final Financial report** should indicate the total real cost of the project implementation. Only eligible costs should be reported, i.e. those incurred during the project implementation period.
- ❖ **The Final Financial report** consists of a Summary Table, detailed tables for individual budget headings and some supporting documents.
- ❖ All supporting documents for the incurred expenditure should be kept by the Beneficiary in originals for 7 years after the payment of the balance for control purposes.
- ❖ **For contracts with expenditure verification report**, the only documents to be sent to the EU with the Final Financial report are: **Transfer of Ownership**, accompanied by equipment specifications as detailed in the relevant invoice and copies of **certificates of origin**.



# Grants' Financial Management

- ❖ **A Transfer of Ownership** is required if the organisation is not based in Russia or is not the final beneficiary of the project. In this case the equipment purchased within the framework of the project should be transferred to the local partners or the final recipient of the Action.
- ❖ Copies of **certificates of origin** and certificates of Transfer of Ownership should be attached to the final payment request for all equipment with a purchase cost above **5,000 EUR per item**.

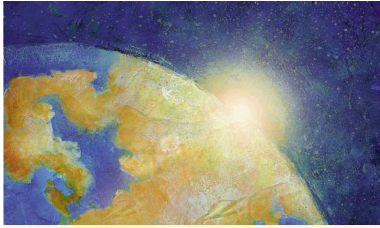


# Grants' Financial Management

All supplies/materials purchased under a contract financed under an EU instrument must originate from the EU or from an eligible country. **Eligible countries** under DCI regulation are as follows:

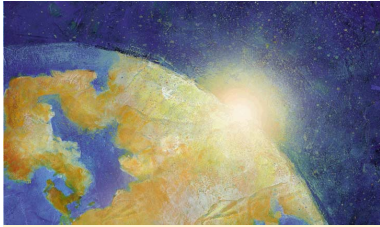
- ❖ **Member States of the EU:**  
Austria, Belgium, Bulgaria, Czech Republic, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.
- ❖ **Developing countries as specified by the OECD/DAC**
- ❖ **Russia**
- ❖ **in an official candidate country as recognised by the EU:** Croatia, The former Yugoslav Republic of Macedonia, Turkey, Iceland, Montenegro.
- ❖ **Member States of the EEA:** Iceland, Liechtenstein, Norway.

This list is not exhaustive. Please contact your project manager if you have any questions concerning another country **before** purchase.



# Grants' Financial Management

- ❖ The country of origin is deemed to be the country in which the goods have gone their last, economically justified, substantial transformation.
- ❖ Certificates of origin for supplies / materials are made out by the competent authorities. We accept customs declarations or facture-invoice with indication of the country of origin.

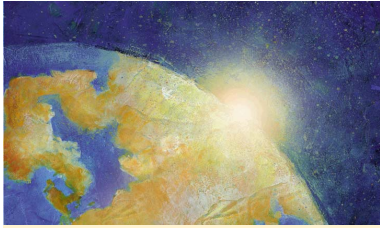


# Grants' Financial Management

- ❖ **Taxes**, including VAT, are not eligible expenditure.

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 case taxes cannot be reclaimed or offset, a confirmation from relevant competent authorities has to be provided.
- ❖ If Beneficiaries are **EU VAT registered organisations**, it is likely they can reclaim VAT. If they cannot, justification/ confirmation from the relevant authority needs to be provided.



# Grants' Financial Management

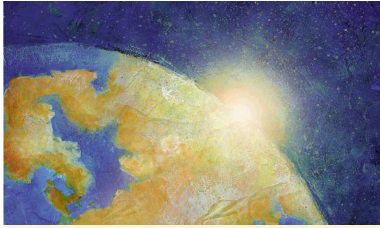
- ❖ If Beneficiaries are **RF registered organisations**, more likely they can reclaim the VAT by off-setting.

However, there 2 types of organisations which can not reclaim the VAT in Russia: (a) **public authorities** and (b) organisations which apply a **simplified taxation system**.

In this case: (a)- an official letter that the VAT can not be reclaimed by offsetting should be provided. If you are (b)- an official certificate from local tax inspection about application of a simplified taxation system should be provided.

**All other organisations** should submit their VAT Declaration for the latest accounting period.

- ❖ **Applicants** which will be able to prove that they cannot reclaim taxes, **should estimate taxes, including the VAT in their budget (Annex B, budget heading 12 "Taxes")**.



# Grants' Financial Management

- ❖ If the implementation of an Action requires procurement by the Beneficiary, the contract must be awarded to the most economically advantageous tender (i.e, the tender offering the best price-quality ratio), in accordance with the principles of transparency and fair competition and taking care to avoid any conflicts of interest.

**Procurement rules** – Annex IV of grant contract.

Also bear in mind EU rules of origin.



# Grants' Financial Management

- ❖ Any amendment to the Contract must be set out in writing in an addendum. Changes become effective when both parties have signed.
- ❖ However, where the amendment to the Budget or Description of the Action does not affect the basic purpose of the Action and the financial impact is limited to a transfer between items within the same main budget heading including cancellation or introduction of an item, or a transfer between main budget headings involving a variation of 15% or less of the amount originally entered (or as modified by addendum) in relation to each concerned main heading, the Beneficiary may amend the budget and inform in writing without delay the Contracting Authority accordingly.
- ❖ This method may not be used to amend the headings for Administrative costs or the Contingency reserve.
- ❖ Administrative costs should include project costs which cannot be attributed to any other budget headings.
- ❖ If envisaged, a Contingency reserve (not exceeding 5% of the direct eligible costs) is used only with the prior written authorisation of the Contracting Authority.