



Contracting Authority: European Commission

**Contribution of Sustainable Fisheries to the Blue Economy of the
Eastern Africa, Southern Africa and Indian Ocean (EA-SA-IO) region
– E€OFISH Programme**

*Supporting fisheries management and governance initiatives in small-scale inland
and marine fisheries in the Eastern Africa, Southern Africa and Indian Ocean region*

**Guidelines
for grant applicants**

Budget Line: RSO/FED/039-977

11th European Development Fund¹

Reference: EuropeAid/163394/DD/ACT/Multi

Deadline for submission² of Concept Note:

31 July 2019 at 12:00 (Brussels date and time)

(in order to convert to local time click [here](http://www.timeanddate.com/worldclock/converter.html)³)

¹ Any reference to European Union financing also refers to European Development Fund grants where applicable

² Online submission via PROSPECT is mandatory for this call for proposals (see section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except for public holidays) Applicants should take note of the weekly maintenance hours mentioned in the PROSPECT user manual.

³ An example of a time converter tool available: <http://www.timeanddate.com/worldclock/converter.html>

NOTICE

This is a **restricted call for proposals**. In the first instance, only concept notes (Part A of the grant application form) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application. 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 lead applicant' sent together with the full application.

Online submission via PROSPECT

To apply to this call for proposals, organisations must register in PADOR and submit their application in PROSPECT (see section 2.2.2 of the guidelines). The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application.

All organisations can find the e-learning (Annex L) and the PROSPECT users' manual (Annex M) and the FAQ published together with the documents of this call. You may also contact our technical support team via the online support form in PROSPECT⁴.

⁴ If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu

Table of contents

1. CONTRIBUTION OF SUSTAINABLE FISHERIES TO THE BLUE ECONOMY OF THE EASTERN AFRICA, SOUTHERN AFRICA AND INDIAN OCEAN (EA-SA-IO) REGION – EEOFISH PROGRAMME	ERROR! BOOKMARK NOT DEFINED.
1.1. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES	5
1.2. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY	5
2.1. ELIGIBILITY CRITERIA	7
What is not an affiliated entity?	9
2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW	18
2.3. EVALUATION AND SELECTION OF APPLICATIONS	22
2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS	27
2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY’S DECISION	28
2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY’S DECISION TO AWARD A GRANT	29
1.	

Supporting fisheries management and governance initiatives in small-scale inland and marine fisheries in the Eastern Africa, Southern Africa and Indian Ocean region

Background

The 11th EDF Regional Indicative Programme for the EA-SA-IO Region 2014 – 2020 made provision for a cross-regional envelope of EUR 28 million to support the contribution of sustainable fisheries to the blue economy of the Eastern Africa, Southern Africa and Indian Ocean (EA-SA-IO) region. The Financing Agreement for the E€OFISH programme was signed in September 2018. The programme's **overall objective** is to enhance equitable economic growth by promoting sustainable fisheries in the EA-SA-IO region. The **specific objective** is to support sustainable management and development of fisheries in order to contribute to poverty alleviation, food and nutrition security, while addressing climate change resilience and enhancing marine biodiversity.

The programme has three result areas as follows:

Result 1: Regional policies and institutional frameworks are enhanced to secure more sustainable fisheries management and contribute to marine biodiversity and climate resilience;

Result 2: Strengthened capacity to prevent, deter and eliminate Illegal, Unreported and Unregulated (IUU) fishing in the EA-SA-IO region; and

Result 3: Concrete fisheries management and governance initiatives in small-scale inland and marine fisheries are supported with the possibilities of replication at regional level.

The present Call for Proposals will address Result 3 of the E€OFISH programme. It aims at providing support to small-scale fisheries communities to allow them to actively participate in the management and development of the fisheries sector in a bid to address the marginalisation of small-scale fisheries (SSF). Small-scale fisheries are highly important as a backbone of livelihoods in rural coastal communities. They account for more than 60 % of Africa's fisheries production and almost all the catches are destined for human consumption. The level of organisation of SSF remains low and governments in the region have provided insufficient support for the empowerment of small-scale fishing communities. Besides, the supply from SSF is generally affected by huge post-harvest losses. The potential of the modernisation of SSF into domestic semi-industrial fisheries remains largely unexplored. The sustainable exploitation of untapped fisheries resources outside the traditional fishing grounds would improve the economic resilience of the fishers and possibly address increasing needs for fish consumption.

It is also important to consider the gender dimension of the fisheries sector. Women are active in both small-scale fisheries and commercial fisheries sectors and substantially contribute to both national and household food security. Usually not involved in active fishing (with the exception of inland fisheries and lagoon fisheries), women are very active in the pre and post-harvest operations. They account for over 45 % of the workforce. Their roles in the fishery sector include working as fisherwomen, selling fish, acting as auctioneers, agents or merchants, making and repairing nets, drying and salting fish, working as labourers for processing firms and fish farming.

The Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication⁵ (the SSF Guidelines) is the first internationally agreed instrument dedicated entirely to small-scale fisheries sector. EDF10 SmartFish conducted a regional workshop in December 2016 titled "*Towards the implementation of the SSF Guidelines in the Southern Africa and Indian Ocean region*". The main findings revolved around three thematic areas (i) governance of tenure in small-scale fisheries and resource management; (ii) social development, employment and decent work, and gender equality; and (iii) value chains, post-harvest and trade, considering disaster risk and climate change as crosscutting issues. There was an undertaking that the results of the workshop would be addressed in the forthcoming EDF11

⁵ <http://www.fao.org/3/a-i4356e.pdf>

Sustainable Fisheries programme. The key strategic action of Result 3 of the EEOFISH programme will therefore support the implementation of the FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the context of Food Security and Poverty Eradication.

EDF10 SmartFish had successfully implemented a number of pilot projects which facilitated the implementation of small-scale experiments with the aim of demonstrating the advantages and benefits that communities and operators could derive from it. These small-scale pilot projects allow the scope of intervention to be gradually extended. The basic principle is to build on successes at the local level before helping stakeholders, thereafter, to expand/disseminate management measures or innovations on a larger scale (fishery, value chain and/or nationwide). This Call for Proposals would offer the opportunities for the continuation and/or replication at regional level of successful pilot initiatives initiated under the EDF10 SmartFish programme.

1.1. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this call for proposals is to strengthen economic, social and environmental sustainability of small scale fisheries in Eastern Africa, Southern Africa and Indian Ocean region. More specifically, the Call shall contribute to the implementation of the FAO Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the context of Food Security and Poverty Eradication and FAO Voluntary Guidelines on the responsible Governance of tenure of land, fisheries and forests in the context of national food security. It will support concrete fisheries management and governance initiatives in small-scale inland and marine fisheries with the possibility of replication at regional level.

The **specific objectives** of this call for proposals are to:

- a) Promote sustainable management of small scale fisheries;
- b) Increase the contribution of small scale fisheries to sustainable growth;
- c) Contribute to the equitable development of small-scale fishing communities.

The **priorities** of this call for proposals are:

- a) Clearly demonstrate how small-scale fisheries can contribute to the achievement of the Sustainable Development Goals (SDGs) paying particular attention to the following ones - SDG#1: End poverty in all its forms everywhere; SDG#2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture; SDG#5: Achieve gender equality and empower all women and girls; SDG#8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all; and SDG#14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development;
- b) Promote a human rights-based approach, by empowering small-scale fishing communities, including both men and women to participate in decision-making processes, and to assume responsibilities for sustainable use of fishery resources, and placing emphasis for the benefit of vulnerable and marginalized groups;
- c) Promote international standards on sustainable fisheries management and notably eradicate "destructive fishing practices" and the over-exploitation of specific fisheries;
- d) Improve the transformation, transport, conservation, etc. conditions at the fishery level, in order to guarantee the fish quality for consumption and reduce fish waste and losses;
- e) Promote multi-stakeholders approaches such as working with local authorities, public and/or private sector operators;
- f) Focus on fisheries and value chains of regional interest (i.e. shared fisheries or fisheries present in different countries of the region).

1.2. FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is **EUR 8 000 000**. The Contracting Authority reserves the right not to award all available funds.

Indicative allocation of funds by lot

There will be three different lots; the indicative allocations per lot are as follows:

Lot 1: Actions in the Eastern Africa region

Total available: EUR 3,000,000

Lot 2: Actions in the Southern Africa region

Total available: EUR 3,000,000

Lot 3: Actions in the Indian Ocean region

Total available: EUR 2,000,000

If the allocation indicated 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 (an)other lot(s).

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 1 000 000

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: 90 % of the total eligible costs of the action (see also Section 2.1.5).

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 general budget of the Union or the European Development Fund⁶.

⁶ 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. 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, which is applicable to the present call (available on the internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).⁷

2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **‘lead applicant’**, i.e. the entity submitting the application form (2.1.1),
- if any, its **co-applicant(s) (where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as ‘applicant(s)’)** (2.1.1),
- and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s). (2.1.2);

(2) the actions:

Actions for which a grant may be awarded (2.1.4);

(3) the costs:

- types of cost that may be taken into account in setting the amount of the grant (2.1.5).

2.1.1. Eligibility of applicants (i.e. lead applicant and co-applicant(s))

Lead applicant

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

- be a legal person **and**
- be a specific type of organisation such as: non-governmental organisation, public sector operator (government bodies), local authority, a Non-State Actor (NSA), a business organisation (producer organisation, MSMEs, cooperatives and social enterprises), a research institute constituted in accordance with the legislation in force in the Member States of the five Duly Mandated Regional Organisations⁸ of the EA-SA-IO region, or an international (inter-governmental) organisation as defined by Article 43 of the rules of application of the EU Financial Regulation⁹; **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.

⁷ Note that a lead applicant (i.e. a coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a contribution agreement based on the contribution agreement template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the contribution agreement template.

⁸ The five Duly Mandated Regional Organisations (DMROs) are Indian Ocean Commission (IOC), Southern Africa Development Community (SADC), Common Market for Eastern and Southern Africa (COMESA), East African Community (EAC) and the Intergovernmental Authority on Development (IGAD).

⁹ 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 are also recognised as international organisations.

- (2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in Section 2.6.10.1 of the practical guide;

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide, 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 early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

In Part A, Section 3 and Part B Section 8 of the grant application form ('declaration(s) by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

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

If awarded the grant contract, the lead 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 co-beneficiary (if any) and coordinate the design and implementation of the action.

Co-applicant(s)

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

Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant himself.

Co-applicants must sign the mandate in Part B Section 4 of the grant application form.

- (3) Applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG) at the moment of the award decision cannot be awarded the contract¹⁰.

If awarded the grant contract, the co-applicant(s) (if any) will become beneficiary(ies) in the action (together with the coordinator)

2.1.2. Affiliated entities

Affiliated entity(ies)

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

Only the following entities may be considered as affiliated entities to the lead applicant and/or to co-applicant(s):

Only entities having a structural link with the applicants (i.e. the lead applicant or a co-applicant), in particular a legal or capital link.

¹⁰ The updated lists of sanctions are available at www.sanctionsmap.eu.

Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

This structural link encompasses mainly two notions:

- (i) Control, as defined in Directive 2013/34/EU on the annual financial statements, consolidated financial statements and related reports of certain types of undertakings:

Entities affiliated to an applicant may hence be:

- Entities directly or indirectly controlled by the applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
 - Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
 - Entities under the same direct or indirect control as the applicant (sister companies).
- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

The structural link shall as a general rule be neither limited to the action nor established for the sole purpose of its implementation. This means that the link would exist independently of the award of the grant; it should exist before the call for proposals and remain valid after the end of the action.

By way of exception, an entity may be considered as affiliated to an applicant even if it has a structural link specifically established for the sole purpose of the implementation of the action in the case of so-called 'sole applicants' or 'sole beneficiaries'. A sole applicant or a sole beneficiary is a legal entity formed by several entities (a group of entities) which together comply with the criteria for being awarded the grant. For example, an association is formed by its members.

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

- Entities that have entered into a (procurement) contract or subcontract with an applicant, act as concessionaires or delegates for public services for an applicant,
- Entities that receive financial support from the applicant,
- Entities that cooperate on a regular basis with an applicant on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract (unless this consortium agreement leads to the creation of a 'sole applicant' as described above).

How to verify the existence of the required link with an applicant?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the applicant and its proposed affiliates belong to.

The affiliation resulting from membership may in particular be proved on the basis of the statutes or equivalent act establishing the entity (network, federation, association) which the applicant constitutes or in which the applicant participates.

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation contracts

and financial support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the beneficiary(ies) under the grant contract.

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Part B Section 5 of the grant application form.

2.1.3. *Associates and contractors*

The following entities are not applicants nor affiliated entities and do not have to sign the ‘mandate for co-applicant(s)’ or ‘affiliated entities’ statement’:

- Associates

Other organisations or individuals 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 6 — ‘Associates participating in the action’ — of the grant application form.

- Contractors

The 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.

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 24 months nor exceed 48 months.

Sectors or themes

Actions will have to address the priority issues identified in Section 1.2.

Location

Actions must take place in one of the following regions as per allocated Lots: Eastern Africa¹¹, Southern Africa¹² and Indian Ocean¹³.

Types of action

Types of action which may be financed under this call:

Eligible actions will include activities falling within the objectives mentioned at 1.1 that will support concrete fisheries management and governance initiatives in small-scale inland and marine fisheries with the possibility of replication for regional impacts. All actions must respect principles of non-discrimination human rights, the rule of law, good governance, gender equality and women's empowerment and overall adopt a Right Based Approach according to the local situation.

¹¹ Burundi, Djibouti, DRC, Eritrea, Ethiopia, Kenya, Rwanda, Somalia, South Sudan, Sudan, Tanzania, Uganda

¹² Angola, Botswana, Lesotho, Malawi, Mozambique, Namibia, Swaziland, Zambia.

¹³ Comoros, Madagascar, Mauritius, Seychelles.

All actions should include an element of capacity development of partner countries fisheries organisations. Partnerships among fisheries organisations and other stakeholders including public sector operator (parastatal government bodies) or local authorities are encouraged in order for the action to achieve stronger ownership and impact.

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;
- one-off conferences: Conferences may only be funded if they form part of a wider range of activities to be implemented over the time life of the action;
- actions intended to raise funds or promote the visibility of the applicant and its partner(s);
- actions consisting mainly of research or of study;
- actions which consist exclusively, or primarily in capital expenditure, e.g lands, buildings, equipment and vehicles;
- actions which discriminate against individuals or groups of people on grounds of race, colour, sex, language, religion, political or other opinion, national or social origin, property, birth or other status;
- actions supporting directly political parties.

Types of activity

Applicants are invited to present activities they consider necessary in order to achieve the objectives of this Call for Proposals and to obtain tangible results in the context where the selected projects will be implemented.

Activities may comprise a combination of works (e.g infrastructure, supply and installation of equipment) and capacity-building programmes, organisation of workshops, seminars, awareness/sensitization campaigns.

The types of activity presented below are indicative and not exhaustive:

i) Promote the sustainable management of small scale fisheries:

- Empowerment of communities, including men and women, to participate in decision-making processes relative to fisheries management. This may include support for the setting up and capacity-development of cooperatives, professional organisations of the small-scale fisheries sector and other organizational structures.
- Improved governance of tenure in small-scale fisheries, with a special attention paid to women's tenure rights. Activities could include support to registration of the fishing activity and adjustment of fleet composition.
- Support to small-scale fisheries research, and collaborative and participatory data collection, analyses and research. Research organizations and institutions could propose activities that support capacity development to allow small-scale fishing communities to participate in research and in the utilization of research findings. Research priorities could focus on the role of small-scale fisheries in sustainable resource utilization, food security and nutrition, poverty eradication, and equitable development;
- Support to community-based management of small-scale fisheries: Activities that aims at developing and facilitating the implementation of management measures including measures to reduce by-catches.

- Support to participative surveillance and development of monitoring, control and surveillance (MCS) systems applicable and suitable for small-scale fisheries;
- Implementation of collaborative marine & coastal habitat restoration programmes;
- Development and implementation of improved techniques and methodologies for a sustainable fishing;
- Activities that promote the replication of pilot initiatives on a regional basis. For example, rolling out of tools and mechanisms that have already been developed to sensitise communities in good management practice as part of the introduction of a regional co-management approach.

ii) Increase the contribution of small scale fisheries to sustainable blue growth:

- Increased value addition through the value chain and reduction of post-harvest losses. That could include activities that create value addition, building on existing traditional and local cost-efficient technologies, local innovations and culturally appropriate technology transfers.
- Activities that foster, provide and enable investments in appropriate infrastructures, organizational structures and capacity development to support the small-scale fisheries post-harvest subsector in producing good quality and safe fish and fishery products, for both export and domestic markets, in a responsible and sustainable manner;
- Support to traditional forms of associations of fishers and fish workers and to their adequate organizational and capacity development in all stages of the value chain in order to enhance their income and livelihood security in accordance with national legislation;
- Increased awareness of the nutritional benefits of eating fish. Activities could promote the consumption of fish within consumer education programmes;
- Support to small-scale fishermen access to markets, including activities that relate to certification processes or to the reinforcement of capacities of small-scale fisheries stakeholders in sanitary and phyto-sanitary (SPS) measures all along the value chain;
- Facilitation of small-scale fishers and fish workers' access to financial services. Activities may promote institutional coordination between financial institutions (the central bank, commercial banks and insurance companies) and contribute to the collection and dissemination at regional level of information about existing experiences regarding access to financial services;
- Activities that promote the role of small-scale fisheries in efforts related to climate change mitigation and that encourage and support energy efficiency in the subsector, including the whole value chain – fishing, postharvest, marketing and distribution.

iii) Contribute to the equitable development of small-scale fishing communities:

- Promotion of social security protection for workers in small-scale fisheries
- Investment in human resource development in fishing communities, such as health, education, literacy etc.
- Improved access to clean water, sanitation and waste management, energy in fishing communities;
- Support to small-scale fishing communities affected by climate change or natural and human-induced disasters, including through adaptation, and mitigation measures;
- Improved safety at sea decent work for small-scale fisheries workers;
- Strengthening of women voice in decisions affecting small scale fishing communities.

Financial support to third parties¹⁴

Applicants may propose financial support to third parties.

Applicants may propose financial support to third parties in order to help achieving the objectives of the action.

The maximum amount of financial support per third party is EUR 60 000.

Under this call, financial support to third parties is not considered essential to achieve the objective of the action.

In compliance with the present guidelines and notably of any conditions or restrictions in this Section, the lead applicant should define mandatorily in Section 2.1.1 of the grant application form:

- (i) the overall objectives, the specific objective(s) and the outputs¹⁵ (i.e. the results) to be achieved with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

In all events, the mandatory conditions set above for giving financial support (points (i) to (vi)) have to be strictly defined in the grant contract as to avoid any exercise of discretion.

Visibility

The applicants must take all necessary steps to publicise the fact that the European Union has financed or co-financed the action. As far as possible, actions that are wholly or partially funded by the European Union must incorporate information and communication activities designed to raise the awareness of specific or general audiences of the reasons for the action and the EU support for the action in the country or region concerned, as well as the results and the impact of this support.

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/funding/communication-and-visibility-manual-eu-external-actions_en).

Number of applications and grants per applicants / affiliated entities

The lead applicant **may** submit more than one application per lot under this call for proposals.

The lead applicant **may not** be awarded more than one grant per lot under this call for proposals.

The lead applicant **may** be a co-applicant or an affiliated entity in another application of the same lot at the same time.

A co-applicant/affiliated entity **may** submit more than one application per lot under this call for proposals.

¹⁴ These third parties are neither affiliated entity(ies) nor associates nor contractors.

¹⁵ As per OECD DAC definition, the term 'results' includes: 'impact' (overall objective), 'outcome(s)' (specific objective(s) and 'output(s)'.

A co-applicant/affiliated entity **may not** be awarded more than one grant per lot under this call for proposals.

A co-applicant/affiliated entity **may** be the lead applicant or an affiliated entity in another application of the same lot at the same time.

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 an overall 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.

Simplified costs options (SCOs) are divided in two categories:

1/ "output or result based SCOs": this category includes costs linked to outputs, results, activities, deliverables in the framework of a specific project (for example the determination of a lump sum for the organization of a conference, or for the realisation of a determined output/activity). Where possible and appropriate, lump sums, unit costs or flat rates shall be determined in such a way to allow their payment upon achievement of concrete outputs and/or results. This type of SCO can be proposed by the Beneficiary (no threshold is applicable) at proposal's stage. In case the evaluation committee and the contracting authority are not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

2/ "other/recurrent SCOs". This second category entails simplified cost options embedded in the accounting practices of the beneficiary, for which an ex-ante assessment is deemed necessary, considering the need of a consistent application of the conditions required. Examples are: an additional percentage on actual salaries to cover remuneration-related costs or the use of an allocation method to apportion costs of a project office foreseen in the Description of the Action. In order the use of systemic/recurrent SCOs, the beneficiary's accounting practices need to have been positively assessed by an audit firm based on standard ToRs provided by the Commission. To obtain reimbursement of this category of SCOs, the beneficiary shall make reference to the previously obtained ex-ante assessment in the budget justification sheet (annex e3c).

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). Determining SCO is possible also through 'expert judgement' provided by internally available experts or procured in accordance with the applicable rules. Experts must be either commissioned auditors or chartered accountants, or staff of the Commission but cannot be staff of the beneficiary. 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 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 the details of the procedure to be followed depending on the type and amount of the costs to be declared as SCO.

Applicants 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 COST' (per month/flight etc.), 'LUMPSUM', '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 applicants 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 for output or result based SCO.
- clearly explain the formulas for calculation of the final eligible amount for output or result based SCO¹⁶
- make reference to the previously obtained ex-ante assessment for other/recurrent SCOs.

In case of output or result based SCOs the evaluation committee and the contracting authority decide whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicants, by analysing factual data of grants carried out by the applicants or of similar actions. In case the evaluation committee and the contracting authority are not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

No threshold is set ex-ante for the total amount of financing that can be authorised by the contracting authority on the basis of simplified cost options. Other/recurrent SCOs can be declared only if previously successfully ex-ante assessed.

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the grant 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 applicants' interest to provide a **realistic and cost-effective budget**.

<p>The grant may take the form of a single lump-sum covering the entire eligible costs of an action or a work programme.</p> <p>Single lump sums may be determined on the basis of the estimated budget, which should comply with the principles of economy, efficiency and effectiveness. Compliance with these principles shall be verified ex ante at the time of evaluation of the grant application.</p> <p>When authorising single lump sums, the authorising officer responsible shall comply with the conditions applicable to output or result based SCOs.</p> <p>When using this form of financing, the description of the action shall include detailed information on the essential conditions triggering the payment, including, where applicable, the achievement of outputs and/or results.</p>
--

The responsible authorising officer may consider that the usual cost accounting practices of the beneficiary are compliant with the conditions applicable to simplified cost options, if they are accepted by national authorities under comparable funding schemes. In this case the grant beneficiary shall demonstrate that the

¹⁶ 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.

national authority accepted the cost accounting practices and will have to specify in which context this acceptance is given.

The evaluation committee and the contracting authority will assess if the funding scheme is comparable and in case of positive outcome will consider these practices as if they were ex-ante assessed by an external auditor.

Eligible direct costs

To be eligible under this 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 lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the special conditions of the 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 beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, they are normally not eligible costs.

As an exception, contributions in kind may include personnel costs for the work carried out by volunteers under an action or work programme (which are eligible costs).

Contributions in kind from third parties in the form of volunteers' work, valued on the basis of unit costs defined and authorised by the contracting authority, shall be presented in the estimated budget, separately from the other eligible costs (i.e. as an accepted costs together with other contributions in kind).

Volunteers' work may comprise up to 50 % of the co-financing. For the purposes of calculating this percentage, contributions in kind and other co-financing shall be based on estimates provided by the applicant.

When the estimated costs include volunteers' work, the grant shall not exceed the estimated eligible costs other than the costs for volunteers' work.

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 European 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 in accordance with Article 7.5 of the general conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- credit to third parties;
- Taxes including VAT;
- salary costs of the personnel of national administrations.

Ethics clauses and Code of Conduct

a) Absence of conflict of interest

The applicant must not be affected by any conflict of interest and must have no equivalent relation in that respect with other applicants or parties involved in the actions. Any attempt by an applicant to obtain confidential information, enter into unlawful agreements with competitors or influence the evaluation committee or the contracting authority during the process of examining, clarifying, evaluating and comparing applications will lead to the rejection of its application and may result in administrative penalties according to the Financial Regulation in force.

b) Respect for human rights as well as environmental legislation and core labour standards

The applicant and its staff must comply with human rights. In particular and in accordance with the applicable act, applicants who have been awarded contracts must comply with the environmental legislation including multilateral environmental agreements, and with the core labour standards as applicable and as defined in the relevant International Labour Organisation conventions (such as the conventions on freedom of association and collective bargaining; elimination of forced and compulsory labour; abolition of child labour).

Zero tolerance for sexual exploitation and sexual abuse:

The European Commission applies a policy of 'zero tolerance' in relation to all wrongful conduct which has an impact on the professional credibility of the applicant.

Physical abuse or punishment, or threats of physical abuse, sexual abuse or exploitation, harassment and verbal abuse, as well as other forms of intimidation shall be prohibited.

c) Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption. The European Commission reserves the right to suspend or cancel project financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract and if the contracting authority fails to take all appropriate measures to remedy the situation. For the purposes of this provision, 'corrupt practices' are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the contracting authority.

d) Unusual commercial expenses

Applications will be rejected or contracts terminated if it emerges that the award or execution of a contract has given rise to unusual commercial expenses. Such unusual commercial expenses are commissions not mentioned in the main contract or not stemming from a properly concluded contract referring to the main contract, commissions not paid in return for any actual and legitimate service,

commissions remitted to a tax haven, commissions paid to a payee who is not clearly identified or commissions paid to a company which has every appearance of being a front company.

Grant beneficiaries found to have paid unusual commercial expenses on projects funded by the European Union are liable, depending on the seriousness of the facts observed, to have their contracts terminated or to be permanently excluded from receiving EU/EDF funds.

e) Errors, irregularities or fraud

The contracting authority reserves the right to suspend or cancel the procedure, where the award procedure proves to have been subject to substantial errors, irregularities or fraud. If substantial errors, irregularities or fraud are discovered after the award of the contract, the contracting authority may refrain from concluding the contract.

2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

To apply for this call for proposals, lead applicants need to:

- I. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory**¹⁷ for all lead applicants, co-applicant(s) and affiliated entity(ies).

PADOR is an on-line database in which organisations register and update information concerning their entity. Organisations registered in PADOR get a unique ID (EuropeAid ID), which they must mention in their application. PADOR is accessible via the website: http://ec.europa.eu/europeaid/pador_en.

- II. Provide information about the action in the documents listed under section 2.2.2 (concept note) and 2.2.5 (full application). Please note that online submission via **PROSPECT is obligatory** for this call.

It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application in PROSPECT.

If it is impossible for the organisation to register online in PADOR for technical reasons, applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form'¹⁸ attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see section 2.2.2 and 2.2.5).

Before starting using PADOR and PROSPECT, please read the user guides available on the website. All technical questions related to the use of these systems should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu via the online support form in PROSPECT.

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 or French**.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the requested EU contribution as well as an indicative percentage of that contribution in relation to the eligible costs of the action.

¹⁷ Natural persons who apply for a grant (if so allowed in the guidelines) do not have to register in PADOR. In this case, the information included in PROSPECT and in the concept note is sufficient.

¹⁸ Which corresponds to sections 3 and 4 of Annex A.2.

A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.

2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20 %. Lead 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. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

Own contributions by the applicants can be replaced by other donors' contributions at any time.

3. Only the concept note form will be evaluated. It is therefore of utmost importance that this document contains ALL relevant information concerning the action. No additional annexes should be sent.

Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.

Clarifications will only be requested when information provided is not sufficient to conduct an objective assessment.

Hand-written concept notes will not be accepted.

2.2.2. *Where and how to send concept notes*

Online submission:

The concept note together with the declaration by the lead applicant (Annex A.1 section 2) **must be submitted online** via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the PROSPECT user manual.

Upon submission of the concept notes online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.

Please note that incomplete concept notes may be rejected.

Lead applicants are advised to verify that their concept note is complete using the checklist for concept note (Annex A.1, Instructions).

2.2.3. *Deadline for submission of concept notes*

The deadline for the submission of concept notes is **31/07/2019 at 00:00 (Brussels date and time)**. In order to convert this deadline to local time you can use any online time converter tool that takes into account timezones and winter/summer time changes (example available here)¹⁹. Lead applicants are strongly advised not to wait until the last day to submit their concept note, since heavy Internet traffic or a fault with the

¹⁹ For example: <http://www.timeanddate.com/worldclock/converter.html>

Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The contacting authority cannot be held responsible for any delay due to such aforementioned difficulties.

Any concept note submitted after the deadline will be rejected.

2.2.4. Further information about concept notes

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-mauritius@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 concept notes.

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

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 DG International Cooperation and Development: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the Delegation website <http://eeas.europa.eu/delegations/mauritius>, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu **via the online support form in PROSPECT**. Please note that the working languages of the IT support are English, French and Spanish. Therefore, users are invited to send their questions in those languages should they wish to benefit from an optimum response time.

2.2.5. Full applications

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using Part B of the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note cannot be modified by the lead applicant in the full application. The EU contribution may not vary from the initial estimate by more than 20 %, although lead 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. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

Lead applicants must submit their full applications in the same language as their concept notes. A copy of the lead applicant's accounts of the latest financial year (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed) must be uploaded in PADOR by the full application deadline. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).

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 7 of the grant application form) or any major inconsistency in the full application (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.

With the full application the lead applicant also has to submit completed organisation data forms (Annex F) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities²⁰.

No additional annexes should be sent.

2.2.6. Where and how to send full applications

Full application forms together with the budget, the logical framework and the declaration by the lead applicant must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the users' manual.

Upon submission of the full application online, the lead applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

Please note that incomplete applications may be rejected. Lead applicants are advised to verify that their application is complete using the checklist (Annex A.2, Instructions).

2.2.7. Deadline for submission of applications

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant.

Lead 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 Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

²⁰ Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to provide an organisation data form. In this case, the information included in the grant application form is sufficient.

Any application submitted after the deadline will be rejected.

2.2.8. Further information about applications

Questions may be sent by e-mail no later than 21 days before the deadline for the submission of full applications to the address(es) below, indicating clearly the reference of the call for proposals:

E-mail address: delegation-mauritius@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 full applications.

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of lead applicants, co-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 DG International Cooperation and Development: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the Delegation website <http://eeas.europa.eu/delegations/mauritius>, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu **via the online support form in PROSPECT**. Please note that the working languages of the IT support are English, French and Spanish. Therefore, users are invited to send their questions in those languages should they wish to benefit from an optimum response time.

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 applications 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 Section 2.1, the application will be rejected on this sole basis.

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

During the opening and administrative check the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the concept note satisfies all the criteria specified in the checklist in Section 2 of Part A of the grant application form. This includes also an assessment of the eligibility of the action. 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 this check will be evaluated on the relevance and design of the proposed action.

The concept notes 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 how to complete the concept note, which can be found in Part A of the grant application form.

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

Scores*

1. Relevance of the action		Sub-score	20
1.1	How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)?	5	
1.2	How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?	5	
1.3	How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?	5	
1.4	Does the proposal contain particular added-value elements (e.g. innovation, best practices)?	5	
2. Design of the action		Sub-score	30
2.1	How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?	5x2**	
2.2	Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5	
2.3	Does the design take into account external factors (risks and assumptions)?	5	
2.4	Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?	5	
2.5	To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)?	5	
TOTAL SCORE			50

* Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses more than the required minimum number of priorities as indicated in Section 1.2 (objectives of the programme) of these guidelines.

**this score is multiplied by 2 because of its importance

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

Firstly, 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 **at least 300%** 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, where relevant.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will receive the letter by email or by post if no e-mail address was provided.

The pre-selected lead applicants will subsequently be invited to submit full applications.

(2) STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- If the full application satisfies all the criteria specified in the checklist (Section 7 of Part B of the grant application form). This includes also an assessment of the eligibility of the action. 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 full applications that pass this check will be further evaluated on their quality, including the proposed budget and capacity of the applicants and affiliated entity(ies). They 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 affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify 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 (this only applies to lead applicants);
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This applies to applicants and any affiliated entity(ies).

For the purpose of the evaluation of the financial capacity, lead applicants must ensure that the relevant information and documents (i.e. accounts of the latest financial year and external audit report, where applicable) in their PADOR profile are up to date. If the information and documents in PADOR are outdated and do not allow for a proper evaluation of the financial capacity, the application may be rejected.

The award criteria help to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, 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 grid is 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	Maximum Score
1. Financial and operational capacity	20
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house experience of project management?	5
1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house technical expertise? (especially knowledge of the issues to be addressed)	5
1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house management capacity? (Including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance	20
<i>Score transferred from the Concept Note evaluation</i>	
3. Design of the action	15
3.1 How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?	5
3.2 Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)?	5
3.3 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?	5
4. Implementation approach	15
4.1 Is the action plan for implementing the action clear and feasible? Is the timeline realistic?	5
4.2 Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)?	5
4.3 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
5. Sustainability of the action	15
5.1 Is the action likely to have a tangible impact on its target groups?	5

5.2 Is the action likely to have multiplier effects, including scope for replication, extension, capitalisation on experience and knowledge sharing?	5
5.3 Are the expected results of the proposed action sustainable?: - Financially (<i>e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs</i>) - Institutionally (<i>will structures allow the results of the action to be sustained 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. improved legislation, codes of conduct, methods</i>) - Environmentally (if applicable) (<i>will the action have a negative/positive environmental impact?</i>)	5
6. Budget and cost-effectiveness of the action	15
6.1 Are the activities appropriately reflected in the budget?	/ 5
6.2 Is the ratio between the estimated costs and the results satisfactory?	/ 10
Maximum total score	100

If the total score for Section 1 (financial and operational capacity) is less than 12 points, the application will be rejected. If the score for at least one of the subsections under Section 1 is 1, the application will also be rejected.

If the lead applicant applies without co-applicants or affiliated entities the score for point 3.3 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

Provisional selection

After the evaluation, a table will be drawn up listing the applications ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached. In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds 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 will be performed on the basis of the supporting documents requested by the contracting authority (see Section 2.4). It will by default only be performed for the applications that have been provisionally selected according to their score and within the available budget for this call for proposals.

- The declaration by the lead applicant (Section 8 of Part B of the grant application form) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.

- The eligibility of applicants and the affiliated entity(ies) 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 on the reserve list that falls within the available budget for this call for proposals.

2.4. SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

A lead applicant whose application 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 lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)²¹:

Supporting documents must be provided through PADOR (see section 2.2).

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity²². Where the contracting authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their 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 meantime²³. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. For action grants exceeding EUR 750 000 and for operating grants above EUR 100 000, the lead applicant must provide an audit report produced by an approved external auditor where it is available, and always in cases where a statutory audit is required by EU or national law. That report shall certify the accounts for up to the last 3 financial years available. In all other cases, the applicant shall provide a self-declaration signed by its authorised representative certifying the validity of its accounts for up to the last 3 financial years available.

This requirement shall apply only to the first application made by a beneficiary to an authorising officer responsible in any one financial year.

3. The external audit report is not required from (if any) the co-applicant(s) or affiliated entities.

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.

4. A copy of the lead 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)²⁴. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).

²¹ No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

²² Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

²³ To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

²⁴ 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.

5. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), 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.
6. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as 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 lead applicant is established. If the lead 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 (uploaded in PADOR or sent together with the PADOR offline form) must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union or in English or in French, a translation into English or French of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than English or French, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into English.

Applicants have to take into consideration the time necessary to obtain official documents from national competent authorities and to translate such documents in the authorised languages while registering their data in PADOR.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the lead 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.

NB : In the eventuality that the Contracting Authority is not satisfied with the strength, solidity, and guarantee offered by the structural link between one of the applicants and its affiliated entity, it can require the submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The lead applicant has to submit the application form revised accordingly.

2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1. *Content of the decision*

The lead applicants will be informed in writing of the contracting authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application.

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*

	DATE	TIME
1. Deadline for requesting any clarifications from the contracting authority	10 July 2019	12:00
2. Last date on which clarifications are issued by the contracting authority	19 July 2019	-
3. Deadline for submission of concept notes	31 July 2019	12:00
4. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	30 September 2019	-
5. Invitations to submit full applications	30 September 2019	-
6. Deadline for submission of full applications	29 November 2019	12:00
7. Information to lead applicants on the evaluation of the full applications (Step 2)	31 January 2020	-
8. Notification of award (after the eligibility check) (Step 3)	31 January 2020	-
9. Contract signature	31 March 2020	-

All times are in Brussels time.

This indicative timetable refers to provisional dates (except for dates 2, 3, and 4) and may be updated by the contracting authority during the procedure. In such cases, the updated timetable will be published on the web site of DG International Cooperation and Development: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and the Delegation website <http://eeas.europa.eu/delegations/mauritius>.

2.6. CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annex A of these guidelines), the applicants agree, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the coordinator is an organisation whose pillars have been positively assessed, it will sign a contribution agreement based on the contribution agreement template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the grant contract shall be understood as references to the relevant provisions of the contribution agreement.

Implementation contracts

here implementation of the action requires the beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

In this context, a distinction should be made between awarding implementation contracts and subcontracting parts of the action described in the proposal, i.e. the description of the action annexed to the grant contract , such subcontracting being subject to additional restrictions (see the general terms and conditions in the model grant contract).

Awarding implementation contracts: implementation contracts relate to the acquisition by beneficiaries of routine services and/or necessary goods and equipment as part of their project management; they do not cover any outsourcing of tasks forming part of the action that are described in the proposal, i.e. in the description of the action annexed to the grant contract.

Subcontracting: Subcontracting is the implementation, by a third party with which one or more beneficiaries have concluded a procurement contract, of specific tasks forming part of the action as described in annex to the grant contract (see also the general terms and conditions in the model grant contract).

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 sheet²⁵
Annex E: Financial identification form
Annex F: PADOR offline Form²⁶ (***ONLY IF IMPOSSIBLE TO REGISTER IN PADOR***)

DOCUMENTS FOR INFORMATION²⁷

- Annex G: Standard grant contract
- Annex II: general conditions
 - Annex IV: contract award rules
 - 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
 - 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/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en
- Annex J: Information on the tax regime applicable to grant contracts signed under the call.
- Annex K: Guidelines for assessing simplified cost options.

Useful links:

Project Cycle Management Guidelines

http://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en

The implementation of grant contracts

A Users' Guide

<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19&locale=en>

Financial Toolkit

http://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en

Please note: The toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with

²⁵ Only applicable where the European Commission will make the payments under the contracts to be signed.

²⁶ https://ec.europa.eu/europeaid/search/site/pador_en - only applicable in calls under direct management where PADOR is used.

²⁷ These documents should also be published by the contracting authority.

their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

* * *