



**Contracting Authority : European Commission**

## **EU-China Civil Society Dialogue**

**Guidelines  
for grant applicants**

**Budget line 19. 100 101**

**Reference: EuropeAid/129551/L/ACT/CN**

**Deadline for submission of proposals: 07.05.2010**

# **NOTICE**

## **Notice**

This is an open Call for Proposals, where all documents are submitted at one stage (Concept Note and full proposal). However, in the first instance, only the Concept Notes will be evaluated. Thereafter, for the applicants whose Concept Notes have been pre-selected, evaluation of the full proposal will be carried out. Further to the evaluation of the full proposals, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the Contracting Authority and the signed "Declaration by the Applicant" sent together with the application.

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# 1. EU-CHINA CIVIL SOCIETY DIALOGUE

## 1.1 BACKGROUND

Since the late 1980s, the concept of civil society has gained great international prominence. It routinely features in public debates, academic writings, media reports, and policy analyses and recommendations on almost any issue of current concern. Civil society organizations, notably NGOs, have also enjoyed a spectacular growth in terms of numbers and capacity over this period, receiving increased support from multilateral institutions, governments, the corporate sector and the general public.

The emergence of an increasingly vibrant civil society sector in China has been a direct consequence of the changes to both the Chinese state and society since the beginning of the reforms in 1978. The Chinese government explicitly recognizes the role the civil society has to play in the modern Chinese society. This was evidenced by the decision of the Third Plenary Session of the 16<sup>th</sup> Communist Party of China Central Committee, in October 2003 which aims at promoting the development of civil society. The role of civil society is specifically needed in social sectors from which the state is withdrawing and which the market (or other social forces, such as family) cannot or will not address, and in those local communities that the government cannot effectively reach. In China's first EU Policy Paper (published in October 2003), the Government included the development of further exchanges between Chinese and European civil societies amongst its priorities for cooperation with the EU (mentioning in particular environmental NGOs).

The European civil society, being multi-faceted and experienced throughout decades working with governments, has plenty of experience to offer to its Chinese counterparts. In Europe, the civil society – understood in the large sense of the term – is an invaluable contributor to the societal development. In the same way, the Chinese notion of a *harmonious society* will greatly benefit from the supporting activities of the citizens and their groupings.

The Chinese civil society is increasingly interested in international cooperation. At this stage of its development, there is an apparent interest in international / European contacts and fora for exchanging views and experiences. The Chinese civil society is facing challenges that were familiar to its European counterparts in the past, and would greatly benefit from lessons learned from the EU side while looking together with EU counterparts for a Chinese version of approaches used. The importance of bringing together different civil society actors from Europe and China cannot be underestimated.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The overall objective is to support the consolidation of a structured ongoing dialogue between European and Chinese civil societies.

The specific purpose is to formulate common recommendations on public as well as private governance for the benefit of sustainable development and of poverty eradication.

The expected results of the project are:

- Durable and sustainable links between existing European and Chinese civil society institutions in relevant fields are established. Relevant fields/partners include (but not exclusively): law, journalism, religion, culture, minorities, gender, health, environment, trade unions, and policy think tanks.
- The operating environment of relevant sectors of Chinese civil society is improved.
- Knowledge and understanding of relevant European stakeholders of the Chinese civil society environment is enhanced.

The stakeholders considered are CSOs and/or non-state actors in the large sense, such as NGOs, foundations, academia, media, private actors, chambers of commerce. Organisations and initiatives focusing on vulnerable groups will be paid specific attention to.

### **1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

The overall indicative amount made available under this call for proposals is EUR 1 000 000. The Contracting Authority reserves the right not to award all available funds.

#### Size of grants

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

- minimum amount: EUR 400 000
- maximum amount: EUR 1 000 000

In addition, no grant may exceed 80% of the total eligible costs of the action (see also section 2.1.4). The balance must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget or the European Development Fund.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this Call, in conformity with the provisions of the Practical Guide to contract procedures for EC external actions, which is applicable to the present call (available on the Internet at this address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)).

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicant(s) which may request a grant (2.1.1), and their partners (2.1.2);
- actions for which a grant may be awarded (2.1.3);
- types of cost which may be taken into account in setting the amount of the grant (2.1.4).

#### 2.1.1 *Eligibility of applicants: who may apply?*

For clarity please note that:

“Partnership”	refers to the grouping of organisations, i.e. the applicant and its partners
“Applicant”	refers to the lead organisation within the partnership which submits the proposal
“Partner”	refers to the organizations – other than the applicant – which are members of the partnership
“Beneficiary”	refers to the applicant (of the grant contract) with whom the grant contract has been signed
“Associate”	refers to organisations/institutions which play a real role in the action but may not receive funding from the grant (see 2.1.2)
“Subcontractor”	refers to organisations which are neither partners nor associates, but are contracted by the applicant or partners using the relevant procurement procedures to carry out limited specific tasks within the project (see 2.1.2)

(1) In order to be eligible for a grant, applicants **must**:

- be legal persons **and**
- be non profit making **and**
- be non-governmental organisations, or public sector operators, or higher education institutions **and**
- be nationals<sup>1</sup> of a Member State of the European Union, or of a Member State of the European Economic Area, **or** of the People's Republic of China **and**

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<sup>1</sup> Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a “Memorandum of Understanding” has been concluded.

- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- be officially registered for at least two years
- demonstrate to have regularly carried out activities of the kind covered by this programme.

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EC external actions (available from the following Internet address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm));

In part B section VI of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

### 2.1.2 Partnerships and eligibility of partners

Applicants must act with partner organisations as specified hereafter.

- Partners

At least one member of the partnership has to be national of the People’s Republic of China.

At least one member of the partnership has to be national of a Member State of the European Union, or of a Member State of the European Economic Area.

Applicants’ partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. They must therefore satisfy the eligibility criteria as applicable on the grant beneficiary himself.

Each member of the Partnership must have a precise and clearly identified role in the implementation of the action. The partnership should be composed in such a way as to allow for the achievement of the action’s objectives in the most efficient manner.

Even though the European Commission concludes a contract with the Beneficiary only (i.e. the applicant), all partners should be shown to actively contribute to the implementation of the action. The applicant and its partners must draw up a written agreement defining the technical responsibilities and the financial rights and obligations of each partnership member. All members of the partnership must make a financial or in-kind contribution (please refer to point 2.1.4.)

Each partner must sign and date a Partnership Statement individually in the Application Form (Annex A, III, 2).

**The following are not partners and do not have to sign the “partnership statement”:**

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. The associates have to be mentioned in Part B section IV - “Associates of the Applicant participating in the Action” of the Grant Application Form.

- Subcontractors

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

The applicant will act as the lead organisation and, if selected, as the contracting party (the “Beneficiary”).

Definition: An action (or project) is composed of a set of activities.

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

Location: Actions must take place in the People's Republic of China or in the EU.

Types of action: The only type of action which may be financed under this call is organisation and implementation of a EU-China Civil Society Dialogue.

Types of activity:

Possible activities to be carried out under this action are (non-exhaustive and indicative):

Implementation of structured EU-China Civil Society dialogue by way of grass-root level, demand-driven, participatory workshops, seminars and conferences involving European and Chinese civil society from an encompassing professional and socio-economic background (farming, business, arts, culture, education, science, civil service,...) and on themes related to major and common challenges (ethics, education, media, poverty challenge, economy, governance, biodiversity,...) and with the goal to publish recommendations in relation to common economic, social, environmental, political, cultural challenges.

Cross-cutting issues such as environmental sustainability, gender equality, good governance and human rights should be mainstreamed in the activities.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin;
- actions supporting political parties;
- actions including proselytism.

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.

Partners may take part in more than one application

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of co-financing as a result of these corrections may not be increased. It is therefore in the applicant's interest to provide a **realistic and cost-effective budget**.

#### Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex F of the Guidelines).

#### Contingency reserve

A contingency reserve not exceeding 5% of the direct eligible costs may be included in the Budget of the Action. It can only be used with the **prior written authorisation** of the Contracting Authority.

#### Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the total eligible direct costs.

If the applicant is in receipt of an operating grant financed from the Community budget no indirect costs may be claimed within the proposed budget for the action.

#### Contributions in kind

Contributions in kind are not considered actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary.

The cost of staff assigned to the Action is not a contribution in kind and may be considered as co-financing in the Budget of the Action when paid by the Beneficiary or his partners.

Notwithstanding the above, if the description of the action as proposed by the beneficiary foresees the contributions in kind, such contributions have to be provided.

#### Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes.

## 2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Please note that the prior registration in PADOR<sup>2</sup> for applicants and their partners for this Call for Proposals is obligatory.

PADOR is an on-line database in which organisations register themselves and update regularly their data, through the Europeaid website:

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

Data provided by organisations in PADOR is used by the European Commission for checking the eligibility of the organisations that participate in calls for proposals.

In PADOR, organisations introduce the same data that is requested in the chapters II (for the main applicants) and III (for the partners of the main applicant) of the paper application form. This data concerns the organisation itself, it is not linked to the project proposal.

Organisations obtain their EuropeAid ID after having completed the registration process. The registration process consists in encoding, saving and submitting consistent information on all the PADOR screens (such as Sectorial and Geographical experience, Financial data, etc.).

Before starting the registration of your organisation in PADOR, please read:

- the Frequently Asked Questions
- the PADOR user's guide
- the e-training
- the "Quick guide"

These 4 documents are available on the website.

You have to indicate on the paper version of the proposal the EuropeAid ID (EID). To get this identification, your organisation must register, save and "sign" (committing your responsibility) in PADOR obligatory data (on each screen the fields written in orange) and the related documents (see section 2.4)

Before starting the registration of your organisation in PADOR, please check whether there already is a person, within your organisation, who has registered it before you. In case a colleague of yours has already registered the organisation, please get in touch with him/her for obtaining the EuropeAid ID of your organisation.

Notwithstanding the above, the applicant can submit a request for derogation concerning its registration in PADOR. A reasoned request for derogation should be sent to the Contracting Authority at the address as indicated in these Guidelines 21 days before the deadline for submission at the latest. The Contracting Authority needs to reply at the latest 11 days before the deadline for the submission. The justification for a derogation must be based on the objective impossibility of the applicant to have access to the technology required to register in PADOR. This objective impossibility should go beyond the control of the applicant and, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant itself). The applicant should provide, where possible, supporting documents substantiating its request. The Contracting Authority shall reason its reply. The derogation applies to the applicant requesting the derogation and only in the context of a specific call for proposals, unless the Contracting Authority see grounds for a general derogation for that call for proposals. In this case, data will be introduced in PADOR by the European Commission. If, at a later stage, the organisation wishes to update itself its data, an access request is needed.

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<sup>2</sup> For further information on PADOR, please consult the following website:

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

Helpdesk for questions related to the functioning of PADOR:

*Europeaid-ON-LINE-REGISTRATION-HD@ec.europa.eu*

Before the deadline for presenting the concept note and full proposal, organisations must fill in, save and submit information introduced in all the fields of PADOR (including the fields written with black characters) Only data registered and submitted before the dead-line for the submission of the concept note and full proposal will be taken into account by the EC.

It is by "submitting" their data that organisations engage their responsibility on the accuracy and veracity of the data provided in PADOR.

The supporting documents requested (statuses, financial reports, audit reports) may be uploaded in PADOR after the evaluation of the Full Proposals, but before the deadline fixed in the notification letter from the European Commission. By letter from the European Commission, the applicant will be reminded that these documents will have to be loaded in PADOR for the final eligibility check. Nevertheless, we strongly advise you to upload these documents while registering in PADOR, without waiting until the final selection of proposals is carried out.

## OPEN CALL FOR PROPOSALS

### 2.2.1 *Application form*

Applications must be submitted in accordance with the instructions on the Concept Note and the Full application form included in the Grant Application Form annexes to these Guidelines (Annex A)

Applicants must apply in English.

Any error or major discrepancy related to the points listed in the instructions on the Concept Note or any major inconsistency in the application form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned in the application form) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

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

### 2.2.2 *Where and how to send the Applications*

Applications must be submitted in one original and three copies in A4 size, each bound. The complete application form (part A: concept note and part B: full application form), budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version enclosed.

The Checklist (Section V of part B the grant application form) and the Declaration by the applicant (Section VI of part B of the grant application form) must be stapled separately and enclosed in the envelope

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

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the applicant, and the words "Not to be opened before the opening session" and "在启封会议之前不得启封".

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

Postal address

Delegation of the European Union to China & Mongolia  
Finance, Contracts and Audit Section  
15 Dongzhimenwai Dajie  
Sanlitun  
Beijing 100600  
China

Address for hand delivery or by private courier service  
Delegation of the European Union to China & Mongolia  
Finance, Contracts and Audit Section  
4<sup>th</sup> Floor, Qian Kun Mansion  
6 Sanlitun Xi Liu Jie  
Beijing 100027  
China

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

**Applicants must verify that their application is complete using the checklist (section V of part B of the grant application form). Incomplete applications may be rejected.**

### 2.2.3 *Deadline for submission of Applications*

The deadline for the submission of applications is **07.05.2010** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at **16.00 hours local time** as evidenced by the signed and dated receipt. Any application submitted after the deadline will automatically be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of the first evaluation step (i.e. Concept Note) (see indicative calendar under section 2.5.2)

### 2.2.4 *Further information for the Application*

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

E-mail address: [DELEGATION-CHINA-CALL-TENDER@ec.europa.eu](mailto:DELEGATION-CHINA-CALL-TENDER@ec.europa.eu)

Contracting Authority has no obligation to provide further clarifications after this date.

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

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

Questions that may be relevant to other applicants, together with the answers, will be published on the internet at the EuropeAid websites:

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

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1224846858672&do=publi.welcome&userlanguage=en>

It is therefore highly recommended to regularly consult the above-mentioned websites in order to be informed of the questions and answers published.

All questions related to PADOR registration should be addressed to the PADOR helpdesk:  
[europeaid-on-line-registration-hd@ec.europa.eu](mailto:europeaid-on-line-registration-hd@ec.europa.eu)

## **2.3 EVALUATION AND SELECTION OF APPLICATIONS**

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

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

### **(1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK**

The following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The Application Form satisfies all the criteria specified in points 1-5 of the Checklist, section V of part B of the grant application form. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

Following the opening session and the administrative check, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether they have been recommended for further evaluation.

## (2) STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance of the action, its merits and effectiveness, its viability and sustainability. The Contracting Authority reserves the right not to undertake the evaluation of the Concept Notes whenever considered justified (for example when a less than expected number of applications are received) and to go straight to the evaluation of the corresponding full applications.

Please note that the scores awarded to the Concept Note are completely separate from those given to the Full Application.

The Concept Note will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with instructions provided in the guidance for Concept Note, 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 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

	<b>Scores</b>	
<b>1. Relevance of the action</b>	Sub-score	15
1.1 Relevance of the action needs and constraints of the country/region to be addressed in general, and to those of the target groups and final beneficiaries in particular.	5	
1.2 Relevance to the priorities and objectives mentioned in the Guidelines.	5(x2)*	
<b>2. Effectiveness and Feasibility of the action</b>	Sub-score	25
2.1 Assessment of the problem identification and analysis.	5	
2.2 Assessment of the proposed activities (practicality and consistency in relation to the objectives, purpose and expected results).	5(x2)*	
2.3 Assessment of the role and involvement of all stakeholders and, if applicable, proposed partners.	5(x2)*	
<b>3. Sustainability of the action</b>	Sub-score	10
3.1 Assessment of the identification of the main assumptions and risks, before the start up and throughout the implementation period.	5	
3.2 Assessment of the identification of long-term sustainable impact on the target groups and final beneficiaries.	5	
<b>TOTAL SCORE</b>		<b>50</b>

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

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

Firstly, only the Concept Notes which have been given a score of a minimum of 12 points in the category "Relevance" as well as a minimum total score of 30 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to three times the available budget for this call for proposals, taking into account the indicative financial envelopes foreseen by lot. The Evaluation Committee will subsequently proceed with the applicants whose proposals have been pre-selected.

### (3) STEP 3: EVALUATION OF THE FULL APPLICATION

An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the applicant and its partners, will be carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant.

**The award criteria** allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the call for proposals. They enable the selection of applications which the Contracting Authority can be confident will comply with its objectives and priorities and guarantee the visibility of the Community financing (see [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)). They cover such aspects as the relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

*Scoring:*

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

#### Evaluation Grid

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicant and, if applicable, partners have sufficient <b>experience of project management</b> ?	5
1.2 Do the applicant and, if applicable partners have sufficient <b>technical expertise</b> ? (notably knowledge of the issues to be addressed.)	5
1.3 Do the applicant and, if applicable, partners have sufficient <b>management capacity</b> ? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of <b>finance</b> ?	5
<b>2. Relevance</b>	<b>25</b>
2.1 How relevant is the proposal to the <b>objectives</b> and one or more of the <b>priorities</b> of the call for proposals? Note: A score of 5 (very good) will only be allocated if the proposal specifically addresses at least <b>one priority</b> . Note: A score of 5 (very good) will only be allocated if the proposal contains specific added-value elements, such as promotion of gender equality and equal opportunities...	5 x 2
2.2 How relevant to the particular <b>needs and constraints</b> of the target country/countries or region(s) is the proposal? (including synergy with other EC initiatives and avoidance of duplication.)	5
2.3 How clearly defined and strategically chosen are those involved (final beneficiaries, <b>target groups</b> )? Have their <b>needs</b> been clearly defined and does the proposal address them appropriately?	5 x 2

<b>3. Methodology</b>	<b>25</b>
3.1 Are the <b>activities</b> proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 How coherent is the overall design of the action? (in particular, does it reflect the analysis of the problems involved, take into account external factors and anticipate an <b>evaluation</b> ?)	5
3.3 Is the partners' and/or other stakeholders' level of involvement and participation in the action satisfactory?	5
3.4 Is the <b>action plan</b> clear and feasible?	5
3.5 Does the proposal contain <b>objectively verifiable indicators</b> for the outcome of the action?	5
<b>4. Sustainability</b>	<b>15</b>
4.1 Is the action likely to have a tangible <b>impact</b> on its target groups?	5
4.2 Is the proposal likely to have <b>multiplier effects</b> ? (including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action <b>sustainable</b> : - financially ( <i>how will the activities be financed after the funding ends?</i> ) - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i> ) - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> )? - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	5
<b>5. Budget and cost-effectiveness</b>	<b>15</b>
5.1 is the ratio between the estimated costs and the expected results satisfactory?	5
5.2 Is the proposed expenditure <b>necessary</b> for the implementation of the action?	5 x 2
<b>Maximum total score</b>	<b>100</b>

*Note on Section 1. Financial and operational capacity*

If the total average score is less than 12 points for section 1, the application will be rejected.

*Note on Section 2. Relevance*

If the total average score is less than 20 points for section 2, the application will be rejected.

*Provisional selection*

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

Note: The scores awarded in this phase are completely separate from those given to the concept note of the same application.

#### **(4) STEP 4: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS**

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section VI of part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

Following the above analysis and if necessary, any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope, which will then be examined for the eligibility of its applicant and the partners.

#### **2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS**

Applicants who have been provisionally selected or listed under the reserve list will be informed in writing by the Contracting Authority. They will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners:<sup>3</sup>

Supporting documents must be provided through PADOR, see section 2.2.

1. The statutes or articles of association of the applicant organisation<sup>4</sup> and of each partner organisation. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.<sup>5</sup>
2. Where the grant requested exceeds EUR 500 000 (EUR 100 000 for an operating grant), an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.  
This obligation does not apply to public bodies.  
This obligation does not apply to secondary and higher education establishments.
3. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)<sup>6</sup>.
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.

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<sup>3</sup> No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

<sup>4</sup> Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

<sup>5</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

<sup>6</sup> This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to section 2.4.2.

5. A financial identification form conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union or in the language of the country where the action is implemented, a translation into English of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than English, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the applicant's eligibility, into English.

If the abovementioned supporting documents are not provided before the deadline indicated in the request for supporting documents sent to the applicant by the Contracting Authority, the application may be rejected.

Based on the verification of the supporting documents by the Evaluation Committee it will make a final recommendation to the Contracting Authority which will decide on the award of grants.

## 2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

### 2.5.1 Content of the decision

Applicants will be informed in writing of the Contracting Authority's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint. See further section 2.4.15 of the Practical Guide.

### 2.5.2 Indicative time table

	<b>DATE</b>	<b>TIME*</b>
<b>Deadline for request for any clarifications from the Contracting Authority</b>	16.04.2010	16.00
<b>Last date on which clarifications are issued by the Contracting Authority</b>	26.04.2010	-
<b>Deadline for submission of Application Form</b>	07.05.2010	16.00
<b>Information to applicants on the opening &amp; administrative check (step 1)</b>	14.05.2010*	-
<b>Information to applicants on the evaluation of the Concept Notes (step 2)</b>	21.05.2010*	-
<b>Information to applicants on the evaluation of the Full Application Form (step 3)</b>	31.05.2010*	-
<b>Notification of award (after the eligibility check) (step 4)</b>	21.06.2010*	-
<b>Contract signature</b>	19.08.2010*	-

\*Provisional date.

All times are in the time zone of the country of the Contracting Authority

## **2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT**

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard contract (see Annex F of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the Standard Contract.

### Implementation contracts

Where implementation of the action requires the Beneficiary to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. To this end, the Beneficiary must follow the procedures set out in Annex IV to the Contract.

## **2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE**

The applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- the Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or

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

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

### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)<sup>7</sup>

ANNEX D: LEGAL ENTITY SHEET<sup>8</sup>

ANNEX E: FINANCIAL IDENTIFICATION FORM

#### DOCUMENTS FOR INFORMATION

ANNEX F: STANDARD CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN COMMUNITY-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: CONTRACT AWARD PROCEDURES
- ANNEX V: STANDARD REQUEST FOR PAYMENT
- ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT
- ANNEX VII: TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- ANNEX VIII: MODEL FINANCIAL GUARANTEE

ANNEX G: DAILY ALLOWANCE RATES (PER DIEM), available at the following address:

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

PROJECT CYCLE MANAGEMENT GUIDELINES

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

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<sup>7</sup> Optional where the total amount of the grants to be awarded under the call for proposals is EUR 100 000 or less.

<sup>8</sup> Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.