



Contracting Authority: European Commission

Quality Alternative Care for Children and De-Institutionalisation

Guidelines for grant applicants

Budget line(s): BGUE-B2017-21.020703-C1-DEVCO

Reference:
EuropeAid/158557/DH/ACT/Multi

Deadline for submission¹ of concept notes:

27/03/2018 at 16:00 (Brussels date and time)

(in order to convert to local time click [here](#)²)

¹ 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.

² An example of a time converter tool available online: <http://www.timeanddate.com/worldclock/converter.html>

NOTICE

These guidelines are published in English, French and Spanish. In case of any discrepancy between the linguistic versions of this call, the English version will prevail.

This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1) 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.

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 PROSPECT³.

A functional mailbox specifically dedicated to this call has been set up:

EuropeAid-158557@ec.europa.eu

It shall be used exclusively for sending clarification requests within the deadlines set in paragraph 2.5.2 of these guidelines; no other functional mailbox will be used. The Contracting Authority reserves the right to close this mailbox without prior notice once this call for proposals is closed and not to reply to requests which do not fall under one of the afore-mentioned category.

In particular, neither the information regarding the indicative time table nor the content of the decision will be given through this mailbox. In that respect, applicants are requested to follow instruction given in paragraphs 2.5.1 and 2.5.2 of these guidelines.

Concept notes or full applications submitted by e-mail via this mailbox or any other mailbox will not be considered.

³ If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu

IMPORTANT

Even though the verification of eligibility is foreseen to be carried out only for the provisionally selected applicants at the end of the procedure, the Evaluation Committee may decide to verify this point at any previous step of the procedure. Consequently, any proposal found to be non-compliant with all the mandatory conditions set in these guidelines can be automatically rejected on that sole basis, at any stage of the procedure and without any prior notice or clarification request. Applicants are therefore strongly advised to fill in scrupulously the "Check List for Concept Note" (Annex A1) and the "Checklist for the Full Application form" (Annex A.2.). Any missing supporting document or any incoherence between the declarations and the supporting documents may lead to the rejection of the proposal on that sole basis.

Please note that all information encoded in PROSPECT must be exhaustive and in line with the content of the concept note. The administrative check will be performed taking into consideration only the information available in PROSPECT in sections: 1 – Contact; 2 – Project; 3 – Co-applicants; 4 - Documents. Please make sure that there are no inconsistencies between the information in PROSPECT and those in the concept note text.

Complaints about administrative rejections related to this kind of inconsistencies will not be considered and will not lead to a modification of the decision.

Concerning public national or local authority(ies):

- The rationale for the choice of authority must be set out in the project description (section 1.1.2 of concept note; section 2.1.1 of full application). **Please note that the absence of the rationale in the abovementioned sections may lead to the rejection of the application.**
- When the public national or local authority is an associate, a letter expressing its support for the application has to be uploaded in PROSPECT, Section 4 – Documents. **Please note that the absence of this letter may lead to the rejection of the application.**
- Public national or local authority(ies), whatever its role is (co-applicant or associate), must register in PADOR and upload its Statutes or Law at concept note step (see section 2.2). Entities registered in PADOR get a unique ID (EuropeAid ID) which they **must mention** in PROSPECT (co-applicant) or in the letter (associate). **Please note that the absence of PADOR registration may lead to the rejection of the application.**

For applicants from United Kingdom: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that applicants from United Kingdom continue to be eligible, you will cease to receive EU funding (while continuing where possible to participate) or be required to leave the project on the basis of Article 12.2 of the General Conditions to the grant agreement.

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1 QUALITY ALTERNATIVE CARE FOR CHILDREN AND DE-INSTITUTIONALISATION

1.1 BACKGROUND

It is estimated that eight million children worldwide, around 90 % of whom are not orphans, are living in institutions where they are at high risk of physical and psychological violence, abuse and neglect, undermining their ability to reach their full potential and exposing them to further risks of social exclusion. Many more millions of children are deprived of the care of their family and lack the proper quality alternative care (be it informal or formal) that they need to grow up safely and well in extended families - foster - or community based-care solutions.

EU Policy

The promotion of the protection of the rights of the child is among core EU values and reflected in its legal and political framework. The EU's **2017 *Guidelines on the promotion and protection of the rights of the child***⁴ reiterate its commitment to children through its external action. They are based on the UN Convention on the Rights of the Child and its four general principles of non-discrimination, the best interests of the child, the right to life, survival and development, and respect for children's views. Through the *Guidelines*, the EU seeks to promote and protect equally all the rights that children have, focusing especially on the most marginalised children in an effort to leave no child behind. The *Guidelines* stress the need to pursue a system-strengthening approach, based on the 'general measures of implementation' in UNCRC General Comment 51, to ensure that partner countries' systems are better able to protect and fulfil children's rights. A system approach to child protection requires states to protect the rights of all children with appropriate measures, structures and resources (legislation and policies, budget allocations, service provision, coordinating and monitoring bodies, data collection, awareness-raising and training). The action proposed in this document — providing quality alternative care for children deprived of parental care⁵, better meeting their emotional, social and development needs, and promoting a transition from institutional to community-based care — is seen as contributing in governments' efforts to reform their child protection systems. The EU *Guidelines* refer specifically to the importance of promoting alternative care for children and providing them with appropriate support to participate in community life and access mainstream services.

In its **Action plan on human rights and democracy 2015-2019**, the EU commits itself to promoting, protecting and fulfilling children's rights, prioritising support for partner countries' efforts in this area, with a particular focus on: 1) strengthening child protection systems so as to protect children from violence, exploitation, abuse and neglect; 2) children's economic, social and cultural rights (education, health, nutrition, social protection, etc.).

The **European Structural Funds**, for instance, are being used to support action to pre-empt the need for institutional care and to promote alternative care for children and community-based care services. Under its **PROGRESS programme**, the Commission supported a number of social innovation projects which sought new ways of supporting young children living in care, e.g. mentoring. The successor **European programme for employment and social innovation** is supporting a joint action on de-institutionalisation, led by the European Social Network. The **instrument for pre-accession (IPA I)**

⁴ https://eeas.europa.eu/sites/eeas/files/eu_guidelines_rights_of_child_0.pdf

⁵ The 2009 UN's *Guidelines for the alternative care of children* define children without parental care as 'all children not in the overnight care of at least one of their parents, for whatever reason and under whatever circumstances' and therefore needing alternative care solutions. The *Guidelines* define two forms of alternative care: informal care (any private arrangement provided in a family environment) and formal care (all care provided in a family environment which has been ordered by a competent administrative body or judicial authority, and all care provided in a residential environment). In terms of the environment in which it is provided, alternative care may be kinship care, foster care, other forms of family-based or family-like care placements, residential care or supervised independent living arrangements for children.

also focused on this objective and **IPA II** links to the employment and social reform programmes, in which de-institutionalisation has been identified as a challenge for social reform. Under the Rights, Equality and Citizenship Programme, the EU has funded a number of transnational projects aiming at building child protection capacity in the area of alternative care.⁶

The EU's **social investment package** and 2013 *Recommendations on investing in children: breaking the cycle of disadvantage* provide guidance on de-institutionalisation and call for a broad approach combining prevention and quality services. They emphasise the need to prevent children's removal from their family where possible and require Member States to stop the expansion of institutional care-settings for children. They underline that children without parental care should have access to quality services, e.g. as regards health, education and social assistance, and that their voice should count in the way these are run.

An expert group convened in 2009 by the Commissioner for Employment, Social Affairs and Equal Opportunities delivered a report⁷ that identified common basic principles for promoting the rights of people living in institutions and issued the Commission and Member States with recommendations as to how to support the transition from institutional to alternative care. The group released **Common European guidelines on the transition from institutional to community-based care**⁸ and an accompanying 'toolkit'.

United Nations Policy

The UN's *Guidelines for the alternative care of children* support the implementation of the Convention on the Rights of the Child. They recognise children's right to be cared for by their parents and set out the parties' obligations in providing suitable alternative care when children are deprived of parental care. They provide an international child-rights framework based on principles relating to the protection of children without, or at risk of being without, appropriate care. They seek to:

- support efforts to keep children in, or return them to, the care of their family or, where this has proved impossible, to find another appropriate permanent solution;
- ensure that, where permanent solutions are not available or not in the child's best interests, the most suitable forms of alternative care are identified and provided in a way that promotes the child's full and harmonious development;
- encourage and help governments to meet their responsibilities and obligations to protect children, bearing in mind the economic, social and cultural conditions families are facing; and
- guide policies, decisions and activities relating to social protection and child welfare in both the public and the private sectors, including civil society.

The **UN Convention on the Rights of Persons with Disabilities** (CRPD) includes specific provisions on the rights of children with disabilities, in particular as regards independent living and inclusion in the community (Article 19), respect for the home and the family (Article 23), education (Article 24) and health (Article 25).

⁶ See Section 4: http://ec.europa.eu/justice/fundamental-rights/files/rights_child/compilation_previously_funded_projects_rights_of_the_child_and_violence_against_children.pdf

⁷ <http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=614&furtherNews=yes>

⁸ <http://deinstitutionalisationguide.eu/wp-content/uploads/Common-European-Guidelines-on-the-Transition-from-Institutional-to-Community-based-Care-English.pdf>

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The European Commission intends to support initiatives to prevent family and child separation, take children out of harmful institutions and provide appropriate and quality alternative care for those deprived of parental care. These initiatives should be based on a careful assessment and determination of their best interests, according to the UN's 2009 *Guidelines for the alternative care of children*. The aim, in line with the 2030 Agenda for Sustainable Development (SDG 16: Peace, justice and strong institutions; and Target 16.2: Ending abuse, exploitation, trafficking and all forms of violence and torture against children) is to reach the most vulnerable children left behind and in need of such care.

The **global objective** of this call for proposals is to ensure better outcomes for children by ensuring better implementation of the UN's *Guidelines for the alternative care of children* in their entirety, so that children enjoy equal chances to reach their full potential in societies.

The **specific objective** of this call for proposals is to **provide quality care for children** through the following **priorities**:

- Enabling governments to provide and take control of quality alternative care provision to children who are deprived of parental care, in line with UN's *Guidelines on alternative care of children* **and/or**
- Regulating and monitoring the quality of the alternative care solutions provided to children who are deprived of parental care **and/or**
- Supporting the transition from institutional to community-based care **and**
- Preventing the unnecessary separation of children from their families.

The action will help public national and local authorities to reform their alternative care systems and implement existing legislation in order to build stronger child protection systems.

In addition, the proposals should take into account the following working principles:

- a. Focus on impact, outcome, specific and measurable results which make a concrete difference in the lives of children.
- b. Apply a systems-approach to child protection as defined in EU's *Guidelines on the promotion and protection of the rights of the child*, cf. page 4.
- c. Design and implement actions according to a Rights-Based Approach⁹. Please see section 2.1.4 "Eligible actions: actions for which an application may be made" for additional information on the Right-Based Approach methodology.
- d. Tackle, whenever relevant, inter-sectional discrimination faced by boys and girls from underserved groups and suffering from various layers of discrimination, such as internally

⁹ See Commission Staff Working Document: Tool-Box - A Rights-Based Approach, Encompassing All Human Rights for EU Development Cooperation: http://www.eidhr.eu/files/dmfile/SWD_2014_152_FI_STAFF_WORKING_PAPER_EN_V5_P1_768467.pdf and the respective Council Conclusions of 19 May 2014.

The RBA implies that target groups are considered as 'rights-holders' with legal entitlements, and government institutions are not mere service providers but 'duty-bearers,' who are under an obligation to deliver on people's human rights. Development cooperation should contribute to the development of the capacities of 'rights-holders' to claim their rights and 'duty-bearers' to meet their obligations. Programmes and projects therefore need to assess the capacities of rights-holders and duty-bearers and develop the appropriate strategies to build these capacities. At the heart of the RBA is the recognition that unequal power relations and social exclusion deny people their human rights and often keep them in poverty. The approach therefore puts strong emphasis on marginalised, disadvantaged, and excluded groups.

displaced and migrants, members of ethnic or religious groups, etc. or discrimination due to age, disability or sexual orientation.

- e. For any organisation or group that works with children or young people, have a clear set of guidelines about how they will keep children safe and respond to child protection concerns. Therefore, applicants and co-applicants working directly with or for children should demonstrate in their proposals that a child protection policy is in place for any project activities that involve interactions with children¹⁰.
- f. Be evidence-based and use robust monitoring and evaluation methods, operational research and disseminate results and lessons learned to facilitate opportunities for replications and expansions and ensure optimal use of results and resources.
- g. Ensure sustainability and appropriation of the action by involving in the designing and implementation of the activities a public national or local authority in charge of child welfare.

These working principles should be implemented as appropriate in relation to the given project.

Geographical balance could be taken into account by the European Commission at any stage of the technical evaluation.

¹⁰ In line with the principles of the UN Convention on the Rights of the Child, and inspired by the four International Child Safeguarding Standards and General Principles <https://www.keepingchildrensafe.org.uk/how-we-keep-children-safe/accountability/accountability-0>

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 13,000,000. The Contracting Authority reserves the right not to award all available funds.

Size of grants

Any requested EU contribution under this call for proposals must fall between the following minimum and maximum amounts:

- minimum amount: EUR 1,000,000
- maximum amount: EUR 4,000,000

Any requested EU contribution 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 eligible cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund¹¹.

The requested EU contribution may cover the entire eligible costs of the action if this is deemed essential to carry it out. If a full financing is requested (100%), the lead applicant must justify it in Annex A.2. section 2.1 at Full Application step. The validity of the justification provided will be examined during the evaluation procedure. **The absence of any justification may lead to the rejection of the application.** If the evaluation committee considers that the justification is not valid, only the maximum percentage allowed (90%) will be accepted.

Please note that the lead applicant can either ask for a maximum percentage of 90% or exceptionally 100% (under the conditions described above). A percentage between 90.01% and 99.99% is not allowed and it will lead to the rejection of the application.

¹¹ 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 at <http://ec.europa.eu/europeaid/frag/document.do?locale=en>).

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 non-profit-making; **and**
- be a **civil society organisation**¹² (this includes non-governmental non-profit organisations, community-based organisations, private-sector non-profit agencies, institutions and organisations and networks thereof at local, national, regional and international level); **and**
- be **established**¹³ **in an EU Member State**¹⁴ **or in a partner country as listed in Annex N** to these guidelines (PART 1: 'List of eligible countries and territories referred in section 2.1.1'); **and**

¹² CSOs include all non-State, not-for-profit structures, non-partisan and non-violent, through which people organise to pursue shared objectives and ideals, whether political, cultural, social or economic.

¹³ To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of an eligible country and that its head office is located in that country. In this respect, any legal entity whose statutes have **not** been established in a Member State of the European Union or in a partner

- 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,

International public-sector organisations set up under international agreements, specialised agencies set up by such organisations, and other organisations that form part of such international organisations (e.g. the International Committee of the Red Cross and the International Federation of National Red Cross and Red Crescent Societies) **are not eligible**. United Nations agencies **are not eligible** under this call for proposals.

- (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 2.3.3 of the Practical Guide;

In Annex A.2, section 5 ('declaration 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.

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.

In order to ensure national government's ownership and sustainability of the action, the lead applicant must act with at least one public national or local authority as co-applicant or associate (for associate please refer to section 2.1.3 below). The public national or local authority(ies) must be from the country in which the action takes place. The rationale for the choice of authority(ies) must be set out in the project description (section 1.1.2 of concept note; section 2.1.1 of full application). Please note that the absence of the rationale in the above mentioned sections may lead to the rejection of the application.

Co-applicant(s)

In order to be eligible for a grant, co-applicant(s) must:

- be a legal person; **and**
- be non-profit-making; **and**
- be a **civil society organisation**¹⁵ (this includes non-governmental non-profit organisations, community-based organisations, private-sector non-profit agencies, institutions and organisations and networks thereof at local, national, regional and international level)

country listed in Annex N cannot be considered an eligible organisation, even if the statutes are registered in an eligible country or a 'Memorandum of Understanding' has been concluded.

¹⁴ For applicants from United Kingdom: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that applicants from United Kingdom continue to be eligible, you will cease to receive EU funding (while continuing where possible to participate) or be required to leave the project on the basis of Article 12.2 of the General Conditions to the grant agreement.

¹⁵ CSOs include all non-State, not-for-profit structures, non-partisan and non-violent, through which people organise to pursue shared objectives and ideals, whether political, cultural, social or economic.

established¹⁶ in an EU Member State¹⁷ or in a partner country as listed in Annex N to these guidelines (PART 1: 'List of eligible countries and territories referred in section 2.1.1');

or

- **be a public national or local authority¹⁸ established in a partner country as listed in Annex N** to these guidelines (PART 1: 'List of eligible countries and territories referred in section 2.1.1');

In case the co-applicant is a public national or local authority, the public national or local authority must be from the country in which the action takes place. The rationale for the choice of authority must be set out in the project description (section 1.1.2 of concept note; section 2.1.1 of full application).

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 sign the mandate in Annex A.2., section 5.2.

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

Please note that all information encoded in PROSPECT must be exhaustive and in line with the content of the concept note. The administrative check will be performed taking into consideration only the information available in PROSPECT in sections 1 - contact, 2 - project and 3 – co-applicants. Please make sure that there are no inconsistencies between the information in PROSPECT and those in the concept note text.

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):

¹⁶ To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of an eligible country and that its head office is located in that country. In this respect, any legal entity whose statutes have **not** been established in a Member State of the European Union or in a partner country listed in Annex N cannot be considered an eligible organisation, even if the statutes are registered in an eligible country or a 'Memorandum of Understanding' has been concluded.

¹⁷ For applicants from United Kingdom: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. If the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that applicants from United Kingdom continue to be eligible, you will cease to receive EU funding (while continuing where possible to participate) or be required to leave the project on the basis of Article 12.2 of the General Conditions to the grant agreement.

¹⁸ The public authority can be a ministry and/or agency responsible for children well-being (e.g. child protection agency or service, national guardianship institution, ministry for children/ child protection/education/health/social affairs or justice, etc.). Local authorities are defined in Annex IIB to Regulation (EU) No 233/2014.

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.

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 applicant may hence be:

- Entities directly or indirectly controlled by an applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by an 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 an 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 Annex A.2., section 5.

Note that the fact of having a structural link with the lead applicant does not prevent an organisation from being co-applicant in the partnership. It is the lead applicant's decision to define the role of the actors composing its partnership and implementing the action: co-applicants or affiliated entities.

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.

In case the associate is a public national or local authority, the public national or local authority must be from the country in which the action takes place. The rationale for the choice of authority must be set out in the project description (section 1.1.2 of concept note; section 2.1.1 of full application).

The associate must provide a letter expressing its support for the application. The letter has to be uploaded in PROSPECT, Section 4 – Documents. Please note that the absence of this letter may lead to the rejection of the application

- 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

Please refer to the "Priorities" in section 1.2 for the priorities and themes.

Location

Actions must take place exclusively in **one partner country among those listed in Annex N, PART 2: 'List of eligible countries and territories as action location referred in section 2.1.4'**.

Geographical balance could be taken into account by the European Commission at any stage of the technical evaluation.

Types of action

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 life-time of the action. For this purpose, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such "wider Activities";
- actions which consist exclusively or primarily in capital expenditure, e.g. land, buildings, equipment and vehicles;
- actions involving proselytism.

Types of eligible activities:

The indicative and non-exhaustive list of activities which may be financed under this call include:

1/ Enabling government to provide and take control of quality alternative care provision in line with UN's *Guidelines on alternative care of children*:

- advocacy for reform and implementation of child protection laws and support for quality care service provision, identifying gaps in policies and service provision;
- engaging with governments on the proper regulation, inspection and supervision of alternative care provision;
- supporting government to improve their knowledge of and control over systems of informal and unregistered care provision prevalent in their countries; to improve their collection of (at least) sex- and age- disaggregated data and the management of sustainable strategies for reform;

- building the workforce (direct informal carers, care professionals and those in related social services) at national and subnational levels, in terms of training (conducting child and family assessments, case management systems, follow-up monitoring after reintegration, forms of alternative care, training of trainers, special care for children with disabilities), status and working;
- training key decision-makers, such as the judiciary and the police, on formal alternative placements;
- establishing functional ‘gatekeeping’ mechanisms vetting all potential admissions to the most suitable formal alternative care provision in the light of the situation, and ‘opening the gate’ by supporting and helping children who become too old for alternative care or leave when it is no longer necessary;
- situating alternative care firmly within public local and national child protection systems, encouraging ownership and accountability by the authorities; and
- in all strategies, assessing the specific circumstances and needs of girls and boys suffering or at risk of violence and discrimination due to their ethnic or minority background, disabilities, geographical location (remote and isolated areas), etc., in order to provide them with the right care.

2/ Providing quality alternative care for children who are deprived of parental care:

- identifying and proposing the best alternative care for children (informal, formal, family-based, residential) depending on the child's individual needs, the cultural contexts and the circumstances, and to the highest possible standards;
- assessing individual children’s needs; providing comprehensive quality care catering as far as possible to their needs, characteristics, situations and wishes until they can be reunited with their families and communities;
- promoting children’s and adults’ participation in the care decision and service delivery review, and making sure the children’s voices are heard; and
- preventing unnecessary or unsuitable care placements and proposing quality improvements in existing care settings.

3/ Supporting the transition from institutional to community-based care:

- identifying and supporting strategies for closing the most unsuitable institutions and residential care facilities;
- identifying and supporting long-term integrated strategies for the gradual de-institutionalisation of entire alternative care systems;
- raising awareness at all levels (among citizens, authorities, civil society organisations, faith-based groups, fundraisers, etc.) of harmful and unsuitable forms of alternative care and associated practices; and
- preparing and implementing family- and community-based solutions for the reintegration and rehabilitation of children taken out of institutions; providing access to essential services, with special attention to deprived and remote areas and to children facing discrimination (on grounds of disability, ethnic or minority background, etc.).

4/ Preventing the unnecessary separation of children from their families:

- analysing and addressing the push factors leading to the separation of children from their families, with a focus on combating violence and all forms of discrimination against children and ensuring that all children have inclusive access to basic services;
- raising awareness among families and communities on the rights of the child and the importance of protecting boys and girls, and providing them with a stable nurturing environment; countering perceptions that institutional placement is necessary and raising awareness of the risks of

- unnecessary separation; reducing communities’ stigmatisation of, and discrimination against, children on the grounds of disability or ethnic or minority background;
- strengthening inclusive local and national child protection systems to address children’s needs, by establishing effective ‘gatekeeping’ mechanisms and preventing separation;
- helping to make vulnerable families more resilient so that they can care for their children better (e.g. social protection, conditional cash transfer, income-generating activities, etc.); and
- training medical professionals in antenatal and maternity services to prevent infants being abandoned or placed in institutions (particularly in the case of disabled children).

Expected results

The indicative and non-exhaustive list of results which may be expected under this call include:

- Governments provide, rule and monitor the quality care that children need,
- Adequate human resources are provided, with greater knowledge and national implementing strategies in line with the highest possible standards.
- Quality alternative care are provided, with ‘gatekeeping’ mechanisms to ensure the right provision of care, follow-up and post-care preparation.
- Decrease in the number of children separated from their families, as families understand the need to let children grow up safely in their home communities so that they can reach their full potential, and increase in the number of families that benefit from public support to provide care where needed.
- Strong local and national child protection systems are put in place as families are better supported in their role as primary carers.
- Decrease in the number of children that are placed in institutions which could be detrimental to their personal well-being and development,
- More government engaged in the gradual de-institutionalisation of alternative care systems and closure of the most harmful residential care facilities, promoting the inclusive reintegration of children into local communities.

A Rights-Based Approach encompassing all human rights, must be applied in the design of activities, whenever this is relevant. The following elements are necessary in order to apply a rights-based approach to development:

- Assessment and analysis in order to identify the human rights claims of rights-holders and the corresponding human rights obligations of duty-bearers as well as the immediate, underlying, and structural causes of the non-realisation of rights.
- Programmes and projects assess the capacity of rights-holders to claim their rights and of duty-bearers to fulfil their obligations. They then develop strategies to build these capacities.
- Programmes monitor and evaluate both outcomes and processes guided by the following human rights principles briefly explained and exemplified as follows;

Applying all rights (legality, universality and indivisibility of human rights) – Human rights are universal, inalienable and indivisible – all human rights, whether economic, political, civil, cultural and social, are of equal validity and importance.

- Make the link to the human rights system and use its products (reports, concluding observations, recommendations, etc.) to inform activities: How are human rights standards from treaties or laws – and related recommendations – identified in

strategies and used to advance the intended project and programme outcomes (or how could they be)?

Participation and access to the decision making process –Participation is the basis for active citizenship. Active, free and meaningful participation is both a means and an end in itself.

- Make sure that participation is more than consultation or a technical step in project preparation. Is there meaningful participation of rights holders and opportunities for them to influence strategies and the intended project and programme outcomes (before/during/after the project activities)?

Non-discrimination and equal access – activities have to prioritise the most marginalised groups and avoid contributing to established patterns of discrimination.

- Who are the rights holders? Have they been taken into account in designing the contribution? Is there unjustified formal or de facto restriction or exclusion of particular groups from access to resources, services or participation in decision-making processes? Have efforts been made to include the most marginalised? Is the development intervention accessible for persons with disabilities or indigenous peoples (in line with the EU's obligation under [Article 32 Convention on Rights of Persons with Disabilities, CRPD, and United National Declaration on the Rights of Indigenous Peoples](#))?
- *Accountability and access to the rule of law* –activities have to promote accessible, transparent and effective mechanisms of accountability. Who are the duty bearers? Which powers and capacities do they have (and not have) to advance their human rights obligations?

Transparency and access to information – activities have to be transparent, with information available in accessible formats (for example, in local languages). Transparency is paramount for ensuring the application of the other working principles – without transparency it is not possible to achieve accountability and participation will not be meaningful.

- Is information available in an accessible way to all stakeholders (people that are involved in the activities) concerned? Are rights holders able to participate in meetings and processes where issues which affect them are discussed?

Financial support to third parties¹⁹

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 may not be the main purpose 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 objectives and results to be obtained with the financial support

¹⁹ These third parties are neither affiliated entity(ies) nor associates nor contractors.

- (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.
- (vii) the system of control set up to verify the eligibility of costs.

In all events, the mandatory conditions set above for giving financial support (points (i) to (vii)) 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 https://ec.europa.eu/europeaid/communication-and-visibility-manual-eu-external-actions_en).

Number of applications and grants per applicants / affiliated entities

An organisation may not be participating more than once in the present call for proposals as lead applicant, co-applicant or affiliated entity. Should this be the case, the EC will only consider the first proposal arrived (based on the date and hour of submission) and any other additional proposal will be rejected. It is the responsibility of each lead applicant to verify that its co-applicants and affiliated entities (if any) are not involved as lead applicant, co-applicant or affiliated entity in other proposals.

This rule does not apply to public national or local authority(ies). A public national or local authority may be participating more than once in the present call for proposals as co-applicant or associate.

<h3><i>2.1.5 Eligibility of costs: costs that can be included</i></h3>

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.

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

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" or "FLAT RATE" in the Unit column. (see example in Annex K)

Additionally in Annex B, in the second column of worksheet no.2, "Justification of the estimated costs" per each of the corresponding budget item or heading 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.
- clearly explain the formulas for calculation of the final eligible amount²⁰
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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**

20 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.

The simplified cost option may also take the form of an apportionment of Field Office's costs.

Field Office means a local infrastructure set up in one of the countries where the action is implemented or a nearby country. (Where the action is implemented in several third countries there can be more than one Field Office). That may consist of costs for local office as well as human resources.

A Field Office may be exclusively dedicated to the action financed (or co-financed) by the EU or may be used for other projects implemented in the partner country. When the Field Office is used for other projects, only the portion of capitalised and operating costs which corresponds to the duration of the action and the rate of actual use of the field office for the purpose of the action may be declared as eligible direct costs.

The portion of costs attributable to the action can be declared as actual costs or determined by the beneficiary(ies) on the basis of a simplified allocation method (apportionment).

The method of allocation has to be:

1. Compliant with the beneficiary's usual accounting and management practices and applied in a consistent manner regardless of the source of funding and

2. Based on an objective, fair and reliable allocation keys. (Please refer to Annex K to have examples of acceptable allocation keys).

A description prepared by the entity of the allocation method used to determine Field Office's costs in accordance with the entity's usual cost accounting and management practices and explaining how the method satisfy condition 1 and 2 indicated above, has to be presented in a separate sheet and annexed to the Budget.

The method will be assessed and accepted by the evaluation committee and the Contracting Authority at contracting phase. The applicant is invited to submit (where relevant) the list of contracts to which the methodology proposed had been already applied and for which proper application was confirmed by an expenditure verification.

At the time of carrying out the expenditure verifications, the auditors will check if the costs reported are compliant with the method described by the beneficiary(ies) and accepted by the Contracting Authority.

Adequate record and documentation must be kept by the beneficiary(ies) to prove the compliance of the simplified allocation method used with the conditions set out above. Upon request of the beneficiary(ies), this compliance can be assessed and approved ex-ante by an independent external auditor. In such a case, the simplified allocation method will be automatically accepted by the evaluation committee and it will not be challenged ex post.

When costs are declared on the basis of such allocation method the amount charged to the action is to be indicated in the column "TOTAL COSTS" and the mention "APPORTIONMENT" is to be indicated in the column "units" (under budget heading 1 (Human resources) and 4 (Local Office) of the Budget).

It has to be noted that the EUR 60.000 limit, otherwise applicable to costs declared on the basis of simplified cost options, is not relevant for costs declared following apportionment of Field Offices.

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 a 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 not eligible costs.

Contributions in kind may not be treated as co-financing.

However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a 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
- salary costs of the personnel of national administrations.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

To apply for this call for proposals the 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** for this call for proposals:

Concept note step: Registration in PADOR is obligatory only for lead applicants and public national or local authorities whatever their role is (co-applicant or associate). Entities registered in PADOR get a unique ID (EuropeAid ID) which they must mention in PROSPECT (lead applicant/co-applicant) or in the letter (associate). **Please note that the absence of PADOR registration may lead to the rejection of the application.**

Full application step: Registration in PADOR is obligatory for all co-applicant(s) and affiliated entity(ies). Lead applicants must make sure that their PADOR profile is up to date.

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

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

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 to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the ‘PADOR off-line form’²¹ attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see sections 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 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 form²² annexed to these guidelines (Annex A.1). Applicants must apply in English, French or Spanish.

Please note that:

1. In the concept note lead applicants must provide only an estimate of the **requested EU contribution**, as well as an indicative percentage of this contribution in relation to the total eligible costs of the action. A detailed budget is to be submitted only by 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 form. **The EU contribution may not vary from the initial estimate by more than 20 %**. Lead applicants are free to adapt the requested EU contribution as a percentage of the total eligible costs within the minimum and maximum amounts and percentages provided in section 1.3. **The lead applicant may**

²¹ Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

²² The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form.

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 section 2.1.1 (iv) of the grant full application form.**

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.

2.2.2 Where and how to send concept notes

- (1) 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 a concept note online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.

- (2) If it is impossible for lead applicants to submit their concept note online via PROSPECT for technical reasons, they must send their proposal in a sealed envelope together with the declaration by the lead applicant (**Annex A.1 section 2**). In particular, the lead applicant must send, in a sealed envelope as described below the following items:

- a. One original of the concept note. The signed declaration by the lead applicant (Annex A.1 section 2) must be printed and stapled separately and enclosed in the envelope.

- b. An electronic version (CD-Rom or USB stick) of the items under point (a). The electronic file must contain **exactly the same** application as the paper version enclosed.

Please note that "technical reasons" should be understood **ONLY** in a situation when PROSPECT is not responding. Paper submission when PROSPECT is working may lead to the rejection of the application.

The validity of the submission off-line will be examined by the Evaluation Committee.

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 lead applicant, and the words 'Not to be opened before the opening session.

To reduce expense and waste, we strongly recommend that you do not use plastic folders or dividers. Please also use double-sided printing if possible.

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

Postal address

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance and Contracts
Attn. Head of Unit L-41 03/110

Avenue du Bourget, 1
B-1140 Brussels
BELGIUM

Address for hand delivery or by private courier service

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance and Contracts
Attn. Head of Unit L-41 03/110

Avenue du Bourget, 1
B-1140 Brussels
BELGIUM

Tel : +32 2 2997916

Concept notes sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected. Hand-written concept notes will not be accepted.

Please note that incomplete concept notes may be rejected. Lead applicants are advised to verify that their concept note is complete by using the checklist for concept note (Annex A.1, Instructions).

2.2.3 <i>Deadline for submission of concept notes</i>
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The deadline for the submission of concept notes is **27/03/2018 at 16:00 (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](#))²³ **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, 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 aforementioned difficulties.

In the exceptional case of submission by post or by hand delivery (see section 2.2.2), the date of submission is 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 local time as evidenced by the signed and dated receipt.

Any concept note submitted after the deadline will be rejected.

²³ For example: <http://www.timeanddate.com/worldclock/converter.html>.

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

2.2.4 Further information about concept notes

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

E-mail address: **EuropeAid-158557@ec.europa.eu**

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

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

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of 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 EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> 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 English, French or Spanish 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 the full application form annexed to these guidelines (Annex A.2).

Applications must be submitted in accordance with the full application instructions at the end of Annex A.2. Lead applicants must submit their full applications in the same language as their concept notes.

Please note that:

1. The elements outlined in the concept note cannot be modified by the lead applicant in the full application form. **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). **An explanation/justification of the relevant replacement/adjustment shall be included in section 2.1.1 of the grant full application form.**
2. 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)).

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

Any error or any major inconsistency related to the full application instructions (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.

2.2.6 Where and how to send full applications

Full application forms together with the budget, the logical framework, the declaration by the lead applicant and the mandate(s) by the co-applicant(s) 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.

(a) If the lead applicant submitted the concept note by post / hand delivery (see section 2.2.3) it must send the full application by the same means (by post or hand delivery)

(b) If the lead applicant submitted the concept note online via PROSPECT but it is technically impossible for the organisation to submit the full application online

In the above two cases the lead applicant must send by post the application, i.e the full application form, the budget, the logical framework, the declaration by the lead applicant and the mandate(s) by the co-applicant(s). The lead applicant must send, in a sealed envelope as described below, the following items:

a. One original signed copy of the full application form, the budget and the logical framework. The declaration by the lead applicant and the mandate(s) by the co-applicant(s) must be printed and stapled separately and enclosed in the envelope

b. An electronic version (CD-Rom or USB stick) of the items under point (a). The electronic file must contain exactly the same application as the paper version enclosed.

To reduce expense and waste, we strongly recommend that you use only paper for your file (no plastic folders or dividers). Please also use double-sided printing if possible

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

Postal address

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance and Contracts
Attn. Head of Unit L-41 03/110

Avenue du Bourget, 1
B-1140 Brussels
BELGIUM

Address for hand delivery or by private courier service

European Commission
Directorate-General for International Cooperation and Development
Unit DEVCO B6 Finance and Contracts
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The envelope must bear the **reference number and the title of the call for proposals**, together with the number and title of the lot, the full name and address of the lead applicant, and the words ‘Not to be opened before the opening session’.

Applications sent by any other means (e.g. by fax or by e-mail) or delivered to other addresses will be rejected. Hand-written applications will not be accepted.

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 full 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 who, in exceptional cases (see section 2.2.6) 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.

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.

In the case of submission by post, (see section 2.2.6), the date of submission is 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 as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

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

2.2.8 *Further information about full applications*

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

E-mail address: **EuropeAid-158557@ec.europa.eu**

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

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

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of 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 EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> 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 English, French or Spanish 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.

STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the opening²⁴ and administrative check (including the eligibility check of the action) 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 the instructions included in Annex A.1. 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 in line with the evaluation grid below. The evaluation will also check the compliance with the instructions on how to complete the concept note (Annex A.1).

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.

Evaluation Grid

Section	Maximum Score
1. Relevance of the action	30
1.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**
1.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?*	5x2**
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?*	5

²⁴ Only where some applications have been submitted offline.

1.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices [and the other additional elements indicated under 1.2. of these guidelines]?*	5
2. Design of the action	20
2.1. How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**
2.2. Is the action feasible and consistent in relation to the objectives and expected results?	5x2**
Maximum total score	50

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

Concept notes with a score lower than 30 will be rejected.

Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of at least 200% of the available budget for this call for proposals is reached.

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.

STEP 2: OPENING & ADMINISTRATIVE CHECK AND EVALUATION OF THE FULL APPLICATION

During the opening²⁵ and administrative check (including the eligibility check of the action) for full applications 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 in Annex A.2. 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 the capacity of the applicants and affiliated entity(ies). The evaluation criteria used are presented 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 to 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.

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.

²⁵ Only where some applications have been submitted offline.

Evaluation Grid²⁶

Section	Maximum Score
1. Financial and operational capacity	20
1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient 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 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 of the action	30
2.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?	5x2**
2.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2**
2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5
2.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices [and the other additional elements indicated under 1.2. of these guidelines]?	5
3. Effectiveness and feasibility of the action	20
3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2. Is the action plan clear and feasible?	5
3.3. Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15

²⁶ Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8. of the Practical Guide.

4.1. Is the action likely to have a tangible impact on its target groups?	5
4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)?	5
4.3. Are the expected results of the proposed action sustainable?:(1) financially (how will the activities be financed after the funding ends?)(2) institutionally (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?)(3) at policy level (where applicable) (what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)(4) environmentally (if applicable) (will the action have a negative/positive environmental impact?)"	5
5. Budget and cost-effectiveness of the action	15
5.1. Are the activities appropriately reflected in the budget?	5
5.2. Is the ratio between the estimated costs and the expected results satisfactory?	5x2**
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 3.4 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

Note that (members of) the evaluation committee or internal assessors evaluating the full applications may re-evaluate the scores given for the relevance at concept note stage and transferred to the full application.

After the evaluation, applications will be 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.

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 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 5 of Annex A.2) 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)²⁷:

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 entity²⁸. 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 meantime²⁹. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the lead applicant's accounts for the last financial year available where the total amount of the requested EU contribution exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s) or affiliated entity(ies).

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.

This obligation does not apply to secondary and higher education establishments.

3. 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.
4. A financial identification form of the lead applicant (not from co-applicant(s), nor from affiliated entity(ies)) conforming to the model attached at Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the 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.

27 No supporting document will be requested for applications for a grant not exceeding EUR 60000.

28 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.

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

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

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. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery, will be informed by email or by post if they did not provide any e-mail address. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

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.

Applicants who were unsuccessful at the **Opening and Administrative Check** stages of the procedure wishing to obtain further information should send their request by letter, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission
Directorate-General for International Development and Cooperation — EuropeAid
Unit B.6 "Finance and Contracts,"
Attn. Head of Unit

Avenue du Bourget, 1
B-1140 Brussels
BELGIUM

Applicants who were unsuccessful at the **Technical evaluation** stages of the procedure or at the Eligibility check stage wishing to obtain further information should send their request, by letter indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission
Directorate-General for International Development and Cooperation — EuropeAid
Unit B.1 "Gender Equality, Human Rights and Democratic Governance"
Attn. Head of Unit

Avenue du Bourget, 1
B-1140 Brussels
BELGIUM

2.5.2 Indicative timetable

	DATE	TIME
1. Information meeting, if any (local time)	Not applicable	Not applicable
2. Deadline for requesting any clarifications from the Contracting Authority	06/03/2018	16:00
3. Last date on which clarifications are issued by the Contracting Authority	16/03/2018	-
4. Deadline for submission of concept notes	27/03/2018	16:00
5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	May 2018	-
6. Invitations to submit full applications	May 2018	-
7. Deadline for submission of full applications	June 2018	16:00
8. Information to lead applicants on the evaluation of the full applications (Step 2)³⁰	September 2018	-
9. Notification of award (after the eligibility check) (Step 3)	October 2018	-
10. Contract signature³¹	Before end 2018	-

All dates and times are expressed in Brussels time, where it is not specified otherwise.

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

³⁰ Note that according to the financial regulation, in direct management, applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

³¹ Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

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 PA Grant Agreement based on the PAGoDA 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 PA Grant Agreement.

Implementation contracts

Where 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.

2.7 EARLY DETECTION AND EXCLUSION SYSTEM (EDES)

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in section 2.3.3.1 or 2.3.3.2 of the Practical Guide 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 EDES. For further information see section 2.3.3 and 2.3.4 of the Practical Guide.

3 LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

A.1. Concept Note

A.2. Full Application Form

Annex B: Budget (Excel format)

Annex C: Logical Framework (Word format)

Annex D: Legal Entity Sheet

Annex E: Financial identification form

Annex F: PADOR off Line Form (*ONLY IF IMPOSSIBLE TO REGISTER IN PADOR*)

DOCUMENTS FOR INFORMATION³²

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 and Checklist for assessing Budget and Simplified cost options.

Annex L: e-learning :

<https://webgate.ec.europa.eu/europeaid/prospect/external/>

³² These documents should also be published by the Contracting Authority.

Annex M : user manual for PROSPECT :

<https://webgate.ec.europa.eu/europeaid/prospect/external/>

Annex N : List of eligible countries

USEFUL LINKS

PROJECT CYCLE MANAGEMENT GUIDELINES

https://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>

FINANCIAL TOOLKIT

http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010_en.pdf

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

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