



**Contracting Authority:** European Commission

Support to Civil Society, Local Authorities and Human Rights in  
Ukraine

**Guidelines for grant applicants**

Budget line 21 03 02 01

Budget line 21 02 08 01

Budget line 21 04 01

Budget line 21 02 08 02

Reference:

EuropeAid/153923/DD/ACT/UA

Deadline for submission<sup>1</sup> of concept notes:

**24/01/2017 at 16:00 (Brussels date and time)**

(in order to convert to local time click [here](#)<sup>2</sup>)

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<sup>1</sup> 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.

## NOTICE

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.

Please note that the overall indicative amount made available under this Call for Proposals and as indicated under point 1.3 in these Guidelines is a combination of EU general budget for Ukraine. The Multi-Annual Action Programme (MAAP) 2015-2017 was adopted in 2015. The total allocation for the Lots 3 and 4 is EURO 2,69 mio for 2017 pending the further confirmation of 2017 funds in the annual budget procedure.

**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 PROSPECT<sup>3</sup>.

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

<sup>3</sup> If PROSPECT is unavailable, the IT support can also be reached via email: [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu)

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# 1 SUPPORT TO CIVIL SOCIETY, LOCAL AUTHORITIES AND HUMAN RIGHTS IN UKRAINE

## 1.1 BACKGROUND

The European Union (EU) has a long-standing relationship and cooperation with civil society organisations (CSOs) as well as with local authorities (LAs) in the field of development. It is part of the European Union's (EU) commitment to fight poverty and promote the rule of law and adherence to fundamental freedoms set out in Article 177 (former Article 130u) of the Lisbon Treaty.

The communication on "The roots of democracy and sustainable development: Europe's engagement with civil society in external actions"<sup>4</sup>, issued in September 2012, further develops the provisions relating to CSOs in the Agenda for Change and builds on the conclusions of the Structured Dialogue on the involvement of the CSOs and LAs in EU development cooperation. The Communication put forward three priorities for EU support:

1. To enhance efforts to promote an enabling environment for CSOs in partner countries;
2. To promote a meaningful and structured participation of CSOs in domestic policies of partner countries, in the EU programming cycle and in international processes;
3. To increase the capacity of CSOs to perform their roles as independent development actors more effectively.

Furthermore, in May 2013, the Commission adopted the Communication "Empowering Local Authorities in partner countries for enhanced governance and more effective development outcomes"<sup>5</sup>. These new policy orientations endorsed by the Council of the European Union<sup>6</sup> and commended by the European Parliament Resolution "Local Authorities and Civil Society: Europe's engagement in support of sustainable development"<sup>7</sup>, define the EU strategic priorities to support LAs and their Associations in partner countries to unlock their development potential.

In 2014, the EU Delegation, together with EU Member States and in consultation with civil society and national authorities has developed a Roadmap to engage with Civil Society in Ukraine. The roadmap contains eight strategic priorities for engaging with civil society:

1. Enabling environment for the Ukrainian civil society organisations
2. Increased participation of CSOs in policymaking, public policy monitoring and service delivery and stronger cooperation between CSOs, authorities, media and business at all levels
3. Improved CSO legitimacy and representativeness and their stronger capacity to engage in policy dialogue and policy-making processes, public policy monitoring and oversight
4. Integrating civil society into EU's political and operational relations with Ukraine, focusing on the implementation of the Association Agreement
5. Support civil society's role in conflict prevention, humanitarian work and post-conflict environments in the eastern regions of Ukraine and Crimea

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<sup>4</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF>

<sup>5</sup> [https://ec.europa.eu/europeaid/sites/devco/files/communication-local-authorities-in-partner-countries-com2013280-20130515\\_en\\_4.pdf](https://ec.europa.eu/europeaid/sites/devco/files/communication-local-authorities-in-partner-countries-com2013280-20130515_en_4.pdf)

<sup>6</sup> See Council Conclusions <http://register.consilium.europa.eu/doc/srv?l=EN&f=ST%2012459%202013%20INIT>

<sup>7</sup> <http://www.europarl.europa.eu/sides/getDoc.do?type=REPORT&reference=A7-2013-0296&language=EN>

6. Accountability and transparency of public policies in energy, energy efficiency and environment through increased engagement with civil society
7. Greater involvement of civil society in governance and security sector reforms and promotion of the respect for rule of law and human rights
8. Increased civil society's role in promoting economic development and contributing to the DCFTA implementation in Ukraine.

Starting from 2014 the EU's support and assistance to civil society and local authorities in Ukraine is channelled through the following three programmes: Ukraine Civil Society Support Programme under the European Neighbourhood Instrument; the Civil Society Organisations and Local Authorities Programme (CSO-LA); and the European Instrument for Democracy and Human Rights (EIDHR).

The overall objective of Ukraine Civil Society Support Programme, adopted in 2014, is to enhance civil society role in promoting democratic reforms and inclusive socio-economic development in Ukraine. The specific objectives are:

1. To strengthen the capacity and participation of CSOs in policy dialogue, monitoring and oversight, and concrete actions, to advance the implementation of the national reform agenda;
2. To contribute to foster a conducive environment for civil society, including legislative, institutional and social dimensions.

The overarching objective of the CSO-LA thematic programme is to support the contributions of CSOs' and LAs in EU partner countries towards reinforced governance, accountability and inclusive policy-making.

The CSO component aims specifically at enhancing CSOs' contributions to governance and development processes as:

1. actors in governance and accountability,
2. partners in promoting social development,
3. stakeholders in promoting inclusive and sustainable growth.

The LA component aims at supporting local authorities as actors in their own right in:

1. enhanced local governance;
2. provision and promotion of inclusive and sustainable growth at the local level;
3. testing pilot actions promoting local development through territorial approach.

The European Instrument for Democracy and Human Rights (EIDHR) was adopted by the European Parliament and the Council in March 2014 for the period 2014-2020 to promote democracy and human rights worldwide through support to civil society initiatives. It has replaced and builds upon the EIDHR of 2007-2013 and the European Initiative for Democracy and Human Rights of 2000-2006.

The overall objective of the EIDHR in Ukraine is to strengthen the role of Ukrainian civil society in promoting human rights, gender equality and democratic reform, in facilitating the peaceful conciliation of group interests, and in consolidating political participation and representation. The EIDHR is designed to support civil society in becoming an effective force for political reform and human rights protection. In doing so, it complements the geographical programmes which focus on public institution-building.

Over the past nine years in Ukraine, the EIDHR has financed over 50 grant projects to address issues ranging from support to freedom of expression to improved access to justice, to fight against torture and ill-treatment, to promotion of equality and combatting non-discrimination on any ground, to monitoring election processes, to protection of human rights defenders, to civil society's involvement in rehabilitation programmes for internally displaced children and to contributing to the implementation of reforms set out in the EU-Ukraine Association Agenda.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this call for proposals is to strengthen the role of civil society and local authorities in Ukraine in promoting transparent and participatory governance, democratic reforms and human rights, in facilitating the peaceful conciliation of group interests, and in ensuring inclusive socio-economic development.

The call for proposals is divided into **four** lots, each with its own specific objectives and priorities, as indicated below. Within the general objective in each lot, the proposed actions may address one or more of the specific objectives of the lot.

**For Lot 1:** to enhance civil society's role in promoting rule of law, democratic reforms and increase public accountability, in particular:

**1.1.:** to promote effective **anti-corruption policies**, institutions and measures via increased participation of CSOs and media in:

- improving anti-corruption policy design, implementation, monitoring and oversight
- raising standards in public services delivery (with a special focus on solutions decreasing the level of corrupt practices, use of innovative solutions, application of best European and international standards)
- contributing to effectiveness, accountability, transparency and integrity of public institutions (via participation in their set up, capacity building or reform processes)

**1.2.:** to increase the involvement of civil society actors in **policy dialogue** with public authorities and **monitoring of reforms implementation** in line with the Association Agreement implementation in the following areas:

- social sectors (health, education, social protection)
- democratisation (media, data protection, judiciary and law-enforcement, financing of political parties and electoral reforms)

**1.3.:** to support civic activism and **democratic changes** at local level through

- supervisory actions by civil society actors and citizens, such as community-led advocacy and support (i.e. in health and education), for the promotion of access to public information, through civic and media initiatives,
- strengthening civil society organisations through:
  - capacity development and mentoring<sup>8</sup>, in particular for internal accountability, outreach and citizen participation (i.e. to represent their target groups and use feedback mechanisms);
  - financial support to third parties (sub-granting, see also section 2.1.4) in accordance with the specific objectives under this call for proposals (all lots)

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<sup>8</sup> Capacity development may focus on technical and organisational skills i.e. proposal writing, financial management, outreach to stakeholders and/or on political skills i.e. policy analysis, lobbying and advocacy, monitoring state performance and impact of policies, reporting, building coalitions, strengthening civil society organisations' capacities to represent their target groups and use feedback mechanisms

**For Lot 2:** to enhance the role of civil society in promoting socially fairer and environmentally sustainable economic development, peacebuilding and reconciliation, including through empowerment of women and youth:

**2.1.:** support to initiatives aimed at the **social and economic integration of internally displaced persons (IDPs)** in host communities, in areas such as:

- livelihood aspects, information space, access to social and administrative services
- support to cultural initiatives aimed at the integration of IDPs, in particular children and youth, into local communities
- promoting local economic development, job creation and expansion of economic activities in an environmentally sustainable manner at local level

**2.2.:** support to **women and youth as a vector of community change for peace** through:

- promoting gender balance in political and economic decision-making through cooperation of government, business, civil society and social partners
- empowering women at the grassroots level through promotion of women's participation in peace-related processes and conflict prevention practices in line with the United Nations Security Council Resolutions (UNSCR) 1325<sup>9</sup> and 1820<sup>10</sup>
- promoting empowerment and civic engagement of youth as a crucial resource to achieve sustainable peace and reconciliation
- promoting civic engagement of youth, combating isolation and segregation of local youth, empowering youth to play an active role in their communities and public affairs (with a special focus on mediation and dialogue initiatives) as well as diverting youth from being recruited by militant or violent groups
- engaging women and youth at the grassroots level to design and implement awareness and education campaigns promoting the values of tolerance, respect for diversity and peace, as well as conflict prevention practices

**2.3.:** promotion of **social entrepreneurship** through

- advocating for necessary legal and legislative changes
- awareness-raising campaigns and capitalizing on existing achievements and practices
- designing and running educational programmes contributing to its sustainability in Ukraine

**For lot 3 (EIDHR):** to strengthen the role of Ukrainian civil society in promoting human rights and fundamental freedoms.

**3.1.** to promote and strengthen civil society's involvement in the **fight against torture, ill-treatment and impunity**<sup>11</sup> by working to prevent the occurrence of torture and cruel, inhuman and degrading treatment;

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<sup>9</sup> Resolution (S/RES/1325) on women, peace and security <https://documents-dds-ny.un.org/doc/UNDOC/GEN/N00/720/18/PDF/N0072018.pdf?OpenElement>

<sup>10</sup> Resolution (S/RES/1820) on conflict-related sexual violence [http://www.un.org/en/ga/search/view\\_doc.asp?symbol=S/RES/1820%282008%29](http://www.un.org/en/ga/search/view_doc.asp?symbol=S/RES/1820%282008%29)

ensuring accountability for torture and ill-treatment; and providing support for the rehabilitation of victims of torture

**3.2.** to protect and strengthen the status of **human rights defenders**<sup>12</sup> through a) reinforcing their capacities to carry out human rights work and network with other civil society organisations, including work in conflict and post-conflict areas; b) contributing to the sustainability of their activities; and/or c) raising awareness about their work and role in the promotion of democracy and protection of human rights

**3.3.** to combat all forms of **discrimination** and promote **equality**, including gender equality and equality for persons belonging to minorities and vulnerable groups

**3.4.** to contribute to improving the situation related to a) the right to the freedom of peaceful *assembly* and **association**; b) the right to **freedom of movement**; c) the right to equality **before the law and access to justice**; and/or d) the protection of human rights and fundamental freedoms in **conflict-affected areas and in Crimea**

**For lot 4 (Local Authorities):** to empower local authorities to respond to citizens' demands and to promote inclusive and sustainable local development:

**4.1:** to establish and strengthen public-civil society and public-private partnerships in newly amalgamated communities (hromadas) for the reorganisation of **local health or education services** in order for the service provision to suit local contexts and needs

**4.2:** to encourage **mutual learning** between European and/or Ukrainian local authorities in order to enhance the delivery of health or education services on local level (e.g. through peer review processes and/or joint development projects engaging local authorities with outstanding achievements)

**4.3:** to promote joint actions of local authorities and civil society actors for the modernisation and effective management of **cultural heritage objects and cultural institutions** to ensure their self-sustainability and local economic development.

**Further to the specific objectives, under this call for proposals preference will be given to:**

- Actions proposed by a **coalition or consortium of organisations**
- Actions which propose financial support to third parties (sub-granting, see also section 2.1.4) in accordance with the specific objectives of this call for proposals.
- Actions which incorporate **gender perspectives** in their methodology<sup>13</sup>. Whenever possible, gender indicators shall be developed for all target groups and data collection shall be gender disaggregated.
- Actions which reach **rural and/or remote areas or have significant regional coverage**. It is expected that most of the financial support should reach regions and organisations outside Kyiv.

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<sup>11</sup> See Guidelines to EU Policy Towards Third Countries on Torture, and Other Cruel, Inhuman or Degrading Treatment or Punishment at <https://www.consilium.europa.eu/uedocs/cmsUpload/8590.en08.pdf>

<sup>12</sup> See EU Guidelines on Human Rights Defenders at <http://www.consilium.europa.eu/uedocs/cmsupload/guidelinesdefenders.pdf>

<sup>13</sup> See EU Guidelines on violence against women and girls and combating all forms of discrimination against them (2008) and EC Communication on Gender. Equality and Women's Empowerment in Development Cooperation (2007) reinforced by the Council Conclusions (15 May 2007).



While the action may address issues and priorities from different lots, it **must clearly belong to one** of the four lots of this call for proposals.

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

The overall indicative amount made available under this call for proposals is EUR 9.754.004. The Contracting Authority reserves the right not to award all available funds.

#### **Indicative allocation of funds by lot:**

Lot 1: EUR 3,500,000

Lot 2: EUR 2,410,048

Lot 3: EUR 2,343,956

Lot 4: EUR 1,500,000

If the allocation indicated for a specific lot cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to (an) other lot(s).

#### **Size of grants**

##### For lots 1 and 2:

Any grant requested under Lots 1 and 2 of this call for proposals must fall between the following minimum and maximum amounts:

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

Any grant requested under Lots 1 and 2 of this call for proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- Minimum percentage: 51 % of the total eligible costs of the action.
- Maximum percentage : (see also Section 2.1.5):
  - Partner countries CSOs: maximum of 90% of the total eligible costs of the action;
  - European CSOs: maximum of 75% of the total eligible costs of the action.

##### For lot 3:

Any grant requested under Lot 3 of this call for proposals must fall between the following minimum and maximum amounts:

- minimum amount: EUR 100,000
- maximum amount: EUR 300,000

Any grant requested under Lot 3 of this call for proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- Minimum percentage: 51 % of the total eligible costs of the action.
- Maximum percentage: 95% of the total eligible costs of the action (see also Section 2.1.5).

For lot 4:

Any grant requested under Lot 4 of this call for proposals must fall between the following minimum and maximum amounts:

- minimum amount: EUR 100,000
- maximum amount: EUR 500,000

Any grant requested under Lot 4 of this call for proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- Minimum percentage: 51 % of the total eligible costs of the action.
- Maximum percentage : (see also Section 2.1.5):
  - Partner countries LAs: maximum of 90% of the total eligible costs of the action;
  - European LAs: maximum of 75% of the total eligible costs of the action.

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>14</sup>.

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14 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:

For Lots 1, 2 and 3:

- be a legal person **and**
- be non-profit-making **and**
- be a specific type of organisation such as: civil society organisations, including non-governmental organisations and independent political foundations, community based organisations and private sector non-profit agencies, institutions and organisations and networks thereof at local, national, regional and international level, constituted in accordance with the legislation in force in the country concerned **and**
- be established in<sup>15</sup> a Member State of the European Union or contracting parties to the Agreement on the European Economic Area or in an ENI partner country<sup>16</sup> **and**

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<sup>15</sup> To be determined on the basis of the organisation's statutes, which should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

- 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

For Lot 4 "Local Authorities":

- be specific types of organisations such as: Local Authorities (LA)<sup>17</sup> or associations of Local Authorities<sup>18</sup> constituted in accordance with the legislation in force of the country concerned. LA or LA associations originating from a Member State of the European Union which propose an action must demonstrate an established and effective partnership with local organisations in Ukraine **and**
- be established in<sup>19</sup> Ukraine or a Member State of the European Union **and**
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary

- (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.

**Co-applicant(s)**

For lots 1 and 2:

The lead applicant **must act** with at least one co-applicant as specified hereafter. If the applicant is not from Ukraine, one of the co-applicants must necessarily be from Ukraine.

For lots 3 and 4:

The applicant may act individually or with co-applicant(s). The involvement of co-applicant(s) in the action is in general **highly recommended** in order to meet the objectives of this Call for Proposals. In case the applicant is not established in Ukraine, the involvement in the action of at least one co-applicant established in Ukraine is obligatory.

<sup>16</sup> ENI (European Neighbourhood Instrument) partner countries are: Algeria, Armenia, Azerbaijan, Belarus, Egypt, Georgia, Israel, Jordan, Lebanon, Libya, The Republic of Moldova, Morocco, occupied Palestinian territory, Syria, Tunisia, Ukraine.

<sup>17</sup> Local Authorities in the Ukrainian context include both local executive authorities and organs of local self-government.

<sup>18</sup> The term "association of Local Authorities" includes networks of associations of Local Authorities: a group of associations with a permanent representative body established as an autonomous organisation in accordance with the laws in force in the country concerned. It must comply with all the eligibility criteria laid down, and must be able to assume full contractual responsibility for the actions undertaken, based on a mandate from the members of the network. The network must have the capacity to manage an action of the scale of that which is being proposed.

<sup>19</sup> See footnote 9

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

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

In addition to the categories referred to in section 2.1.1, the following are however also eligible:

- under Lot 4 "*Local Authorities*": civil society organisation constituted in accordance with the legislation in force of the country concerned, and established in a Member State of the European Union or contracting parties to the Agreement on the European Economic Area or in an ENI partner country

Co-applicants must sign the mandate in Annex A.2., section 4 of the grant application form.

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

### **2.1.2 Affiliated entities**

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

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

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

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.

### ***2.1.3 Associates and Contractors***

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

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Annex A.2., section 6 — ‘Associates participating in the action’.

- 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

See section 1.2 of the present Guidelines (Objectives of the Programme and Priority Issues).

In its final award decision, the European Commission reserves the right to ensure a balanced coverage of specific objectives (as defined in section 1.2 above) and sectors.

### Location

Actions must take place in Ukraine. However, if duly justified, certain activities such as the exchange of knowledge, capacity building, coordination and networking may take place in other countries provided that these activities constitute only a minor part of the action and that they contribute directly to the objectives of the action.

### Types of action

Actions will be selected, inter alia, on the basis of their relevance, expected results and potential effectiveness. Preference will be given to proposals built upon existing and past initiatives and **best practices** in the same area. The applicant shall not start from scratch and work in an isolated way, but rather co-operate with a wide range of stakeholders (other actors, authorities, state institutions etc.) so as to jointly strive for synergies and to eventually ensure consolidated outcomes. Actions should contain measures ensuring **multiplication and sustainability** of its outcomes. Furthermore, actions should take into account and **coordinate** with already existing activities, ensuring linkages and synergies. Finally, actions should specifically include an **outreach strategy** aimed at raising public awareness of the issues covered under this call for proposals and promoting public recognition of the **civil society's role** in these processes.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions supporting political parties;
- actions including proselytism.

### Types of activity

Linkages and synergies between activities are encouraged.

The following types of activity may be financed under this call (the list is **not exhaustive**):

- policy advice, monitoring and oversight: assessment of progress in policy implementation and fulfilment of Ukraine's international commitments;
- communication, awareness raising and advocacy activities; research and analytical assessment/comparative analysis of existing anti-corruption policies, institutions, measures, public

service-delivery practices with provision of recommendations and follow-up of their implementation, analysis of corruption risks in public institutions/services and follow up on their elimination actions;

- participation in oversight of set up, capacity building and reforms of public institutions (with particular focus on institutions dealing or impacting the fight and prevention of corruption such as NABU, NAPC, SAPO, ARMO, Judiciary, Prosecution) and specific sectors (public administration reform, e-governance, political parties financing, de-regulation, privatisation);
- media products exposing corruption and raising awareness on possible ways to counteraction, media products on activities of anti-corruption institutions and reform processes.
- financial support to third parties (re-granting schemes) in accordance with the specific objectives of this call for proposals.
- coalition-building and support to strengthening networks of civil society actors that may facilitate coordination and advocacy
- activities to further strengthen existing civil society platforms, networks and coalitions
- reinforcing public control, through public hearings, local initiatives, reactivation / transformation of civic councils and promoting revision of the by-laws related to them
- policy advice, advocacy and ongoing oversight for the improvement of the administrative/ institutional/ legal framework in priority sectors
- organisation of discussion fora to improve dialogue and networking between civil society organisations, media and decision-makers on the issues and priorities of this call for proposals
- monitoring the implementation of government strategies and their action plans and indicators
- building public policy literacy (e.g. policy analysis, cost-benefit analysis, geospatial analysis etc.) and budget literacy among citizens and civil servants
- awareness raising to encourage public discussion and dialogue between local authorities, citizens and civil society on public policies and budgets
- capacity building of civil society organisations, media and other stakeholders to exercise oversight over budget process, including budget cycle, budget reporting, public procurement monitoring, initiatives aiming to check the delivery and quality of public services
- lobbying/advocacy activities directed towards decision-makers and authorities for strategic and inclusive allocation of resources and effectiveness of public expenditures
- promotion and development of local and new media initiatives, such as community media, to increase information channels in the regions, exchanges of information and dialogue between regions
- activities that facilitate contact, consultation, discussion and cooperation between different stakeholders, mediation, exchanges between regions to promote better understanding and reconciliation processes, to fight stereotypes and intolerance
- advocacy and support for the awareness-raising and training for relevant state agents (e.g. armed forces and law enforcement, judges, prosecutors, lawyers, social workers) about various forms of rights violations
- legal counsel for those whose human rights have been violated
- prevention and monitoring of torture and/or ill-treatment in closed institutions
- advocacy, lobbying and development of strategies to support for change of discriminatory laws and practices
- awareness-raising campaigns to inform public at large about the rights and issues of persons belonging to minorities
- monitoring of and reporting on the level of application of non-discrimination laws and measures
- support to community groups or initiatives, support to volunteers initiatives



- initiatives aimed at job creation for vulnerable groups
- use of social enterprises to pilot innovative solutions with a clear societal impact
- activities to establishment or reinforce viable social finance partnerships
- exchange of experience, consultation and mentoring by LAs or CSOs and experts from countries that experienced similar challenges
- developing and piloting innovative ways for the reorganisation of service delivery in newly amalgamated communities
- assistance in exchange of experiences and skills among local authorities in accordance with the specific objectives of this call for proposals.

#### Financial support to third parties<sup>20</sup>

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.

Before the award of financial support to third parties, the EU Delegation will be informed. The modalities for information will be defined before signature of the grant contract.

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
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

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

#### Visibility

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

Applicants must comply with the objectives and priorities and guarantee the visibility of the EU financing (see the Communication and Visibility Manual for EU external actions specified and published by the European Commission at [http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions\\_en](http://ec.europa.eu/europeaid/funding/communication-and-visibility-manual-eu-external-actions_en)).

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<sup>20</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

### Number of applications and grants per applicants / affiliated entities

The lead applicant **may not submit more than 1 application** under this call for proposals.

The lead applicant may not be awarded more than 1 grant under this call for proposals.

The lead applicant may be a co-applicant or an affiliated entity in **ONLY ONE** other application at the same time.

A co-applicant/affiliated entity **may not** be the co-applicant or affiliated entity in **more than 2** application(s) under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than 2 grant(s) under this call for proposals.

#### ***2.1.5 Eligibility of costs: costs that can be included***

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

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

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

Simplified cost options may take the form of:

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

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 amount<sup>21</sup>
- 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.

During the contracting phase, the applicant will be asked to submit supporting information in order for the Contracting Authority to establish the eligibility of costs (i.e. salary slips of proposed staff; employment contracts of proposed staff; employment policy in case staff is not yet hired; office rent agreement in case the applicant requests office rent or part of it to be covered; market surveys for services, supplies and works to be procured; other documents deemed necessary depending on the nature of the proposed activities). Based on the analysis of the submitted budget and the additional documents, the Contracting Authority might ask the applicant to correct its budget.

In case the action concerns constructions or refurbishments, the applicant will be asked to submit the supporting documents (i.e. design, bill of quantities, construction permits, proof of ownership of property, etc).

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**

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.

21 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 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.

#### Expenditure verification

If an expenditure verification report is required as described in article 15.7 of the General conditions applicable to European union-financed grant contracts for external actions (Annex II to the Standard Grant Contract), the expenditure verification costs must be foreseen in the budget (line 5.3 "Expenditure verification/Audit" of Annex B "Budget for the Action"). The expenditure verification report shall conform to the model in Annex VII to the Standard Grant Contract. The auditor shall meet the requirements set out in the Terms of Reference for expenditure verification in Annex VII.

The above mentioned annexes are provided in Annex G to these Guidelines.

#### 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.

## 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 is obligatory for lead applicants applying for EU contributions of more than EUR 60000.

**Full application step:** Registration is obligatory for 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](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'<sup>22</sup> 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](mailto:EuropeAid-IT-support@ec.europa.eu) via the online support form in PROSPECT.

### 2.2.1 Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form<sup>23</sup> annexed to these guidelines (Annex A.1). Applicants must apply in English.

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 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

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<sup>22</sup> Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

<sup>23</sup> The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form.

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 of the grant 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**

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.

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 and attach the concept note 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. 2 additional copies in A4 size, each bound.
- c. An electronic version (CD-Rom or USB ) of the items under point (a). The electronic file must contain **exactly the same** application as the paper version enclosed.

The envelope must bear the **reference number and the title of the call for proposals**, together with the lot number and title, the full name and address of the lead applicant, and the words 'Not to be opened before the opening session' and 'Не відкривати до засідання оціночного комітету'.

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. Where lead applicants send several concept notes (if allowed to do so by the guidelines of the call), each one must be sent separately:

#### Postal address

Head of Contracts and Finance Section  
Delegation of the European Union to Ukraine  
101 Volodymyrska Street  
Kyiv, 01033 Ukraine

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 Deadline for submission of concept notes***

The deadline for the submission of concept notes is **24/01/2017 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 time zones and winter/summer time changes (example available [here](#))<sup>24</sup> **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 24/01/2017 at 17:00 local time (Kyiv)<sup>25</sup> as evidenced by the signed and dated receipt.

Any concept note submitted after the deadline will be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may 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: **delegation-ukraine-tenders@eeas.europa.eu**

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

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

To ensure equal treatment of applicants, the contracting authority cannot give a prior opinion on the eligibility of 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.

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<sup>24</sup> For example: <http://www.timeanddate.com/worldclock/converter.html>.

<sup>25</sup> For example: <http://www.timeanddate.com/worldclock/converter.html>.



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](mailto: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 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 and the declaration by the lead applicant must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the users' manual.

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

(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 and the declaration by the lead applicant. 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 (Annex A.2, section 5) must be printed and stapled separately and enclosed in the envelope

b. 2 additional copies in A4 size, each bound.

c. An electronic version (CD-Rom or USB sticks) 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. Where lead applicants send several applications (if allowed to do so by the guidelines of the call), each one must be sent separately:

#### Postal address

Head of Contracts and Finance Section  
Delegation of the European Union to Ukraine  
101 Volodymyrska Street  
Kyiv, 01033 Ukraine

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' and 'Не відкривати до засідання оціночного комітету'.

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. 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: **delegation-ukraine-tenders@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](mailto: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 opening<sup>26</sup> 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.

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<sup>26</sup> Only where some applications have been submitted offline.

- 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
<b>1. Relevance of the action</b>	<b>30</b>
1.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?	5x2*
1.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?	5x2*
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?*	5
1.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices and the other additional elements indicated under 1.2. of these guidelines?	5
<b>2. Design of the action</b>	<b>20</b>
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*
<b>Maximum total score</b>	<b>50</b>

\*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 opening<sup>27</sup> 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.

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<sup>27</sup> Only where some applications have been submitted offline.

## Evaluation Grid<sup>28</sup>

<b>Section</b>	<b>Maximum Score</b>
<b>1. Financial and operational capacity</b>	<b>20</b>
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
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
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
<b>4. Sustainability of the action</b>	<b>15</b>
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

<sup>28</sup> 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.

<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
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?	10
<b>Maximum total score</b>	<b>100</b>

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)<sup>29</sup>:

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

## **I. FOR CIVIL SOCIETY ORGANISATIONS/NON-STATE ACTORS**

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity<sup>30</sup>. 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 meantime<sup>31</sup>.
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).
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.

## **II. FOR LOCAL AUTHORITIES**

1. Copy of an official document recognizing the organisation as Local Authority in accordance with the national law.
2. 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.

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

30 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.

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



3. 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.

### III. FOR ASSOCIATIONS/NETWORKS OF LOCAL AUTHORITIES

1. The statutes or articles of association of the applicant organisation<sup>32</sup>. Such documents must prove that the organisation in question meets all the eligibility criteria indicated in section 2.1.1. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.
2. 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.
3. 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.

The requested supporting documents (uploaded in PADOR or sent together with the PADOR offline form) must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

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

Where these documents are in an official language of the European Union other than English, 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 English.

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<sup>32</sup> Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

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.

### 2.5.2 Indicative timetable

	DATE	TIME
<b>1. Information meeting, if any</b>	In December (tbd)	tbd
<b>2. Deadline for requesting any clarifications from the Contracting Authority</b>	03/01/2017	16:00
<b>3. Last date on which clarifications are issued by the Contracting Authority</b>	13/01/2017	-
<b>4. Deadline for submission of concept notes</b>	24/01/2017	16:00
<b>5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	February 2017*	-
<b>6. Invitations to submit full applications</b>	March 2017*	-
<b>7. Deadline for submission of full applications</b>	April 2017*	-

<b>8. Information to lead applicants on the evaluation of the full applications (Step 2)<sup>33</sup></b>	May 2017*	-
<b>9. Notification of award (after the eligibility check) (Step 3)</b>	June 2017*	-
<b>10. Contract signature<sup>34</sup></b>	July-August 2017*	-

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

\*Provisional date

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> and the website Delegation of the European Union to Ukraine [http://eeas.europa.eu/delegations/Ukraine/index\\_en.htm](http://eeas.europa.eu/delegations/Ukraine/index_en.htm).

## **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.

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33 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.

34 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

### 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 INFORMATION<sup>35</sup>

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](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/>

Annex M: user manual for PROSPECT :  
<https://webgate.ec.europa.eu/europeaid/prospect/external/>

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<sup>35</sup> These documents should also be published by the Contracting Authority.

## **USEFUL LINKS**

### **PROJECT CYCLE MANAGEMENT GUIDELINES**

[https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\\_en](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](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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