



**Contracting Authority:**European Commission

Socio-Economic Justice for All - CSO Support Programme

**Guidelines for grant applicants**

Budget line(s): 210602

Reference:EuropeAid/150204/DD/ACT/ZA

Deadline for submission<sup>1</sup>of Concept Note:  
19/08/2015 at 17:00 (Brussels date and time)

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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).

## NOTICE

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants who have been pre-selected will be invited to submit a Full Application Form. 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 Applicant' sent together with the application.

### Online submission via PROSPECT

**To apply to this call organisations must use the new electronic system (PROSPECT) developed by EuropeAid to facilitate the submission of applications (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 PROSPECT users' manual on the publication website. You may also contact our technical support team: [EuropeAid-IT-support@ec.europa.eu](mailto:EuropeAid-IT-support@ec.europa.eu)

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# 1 SOCIO-ECONOMIC JUSTICE FOR ALL - CSO SUPPORT PROGRAMME

## 1.1 BACKGROUND

Under the Country Strategy Paper<sup>2</sup> for the 2007-2013 funding period, the Delegation of the European Union to South Africa, in collaboration with the National Treasury had a governance<sup>3</sup> package with the following objectives:

1. To promote democratic culture.
2. **To strengthen capacity and enhance participation of Civil Society Organisations (CSOs) in governance.**
3. To improve the law-making process at all levels of government.
4. To improve the prevention and combating of crime, especially violent crime, thus improving freedom, safety and security in the country.

The *Socio-Economic Justice for All Programme* with the Department of Justice & Constitutional Development (DoJ&CD) is part of this package.

In its report (2011), the National Planning Commission highlighted that poverty and inequality levels are high and persistent in South Africa. Poverty that results in the deprivation of capabilities or lack of empowerment amounts to a denial and a violation of human rights. Women and men living in poverty in urban or rural areas lack formal rights, or where formal rights exist, are denied substantive, equitable access to socio economic, civic and political rights formally accorded to them. The National Development Plan prioritises the role of the State in advancing socio and economic development as envisaged in the Constitution, but it also explicitly acknowledged the role of civil society organisations in the realisation of human rights and the democratisation of the society. Further it recognizes the vital contribution of CSOs to better development and governance outcomes by fostering active citizenry and by “*scrutinizing government data*” and “*demanding accountability*”.

In its communication entitled “*The roots of democracy and sustainable development: Europe’s engagement with civil society in external relations*”<sup>4</sup> (2012), the European Commission referred to CSOs as independent development actors in their own right, whose efforts complement those of public authorities. CSOs are important contributors toward the process of democratisation, good governance and overall development. They play a vital role in enabling people to claim their rights, in promoting rights-based approaches and piloting innovative mechanisms, in shaping and overseeing development policies and promoting and sustaining partnerships with both the State and the private sector. CSOs can also play a role in boosting domestic accountability at local and national levels through a free, clear, accessible flow of information. They can contribute to nurturing respect for the rule of law by monitoring effective implementation of laws and policies and they can initiate and support anti-corruption efforts. By analysing and contributing to budget proposals, monitoring and tracking public revenues and expenditures, and supporting citizens’ budget literacy, CSOs play an important role in the budget

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<sup>2</sup>The current strategy paper for the period 2007-2013 can be consulted at the following address:  
<http://www.eusa.org.za/index.htm>

<sup>3</sup> Under the EU definition, good governance is regarded as: “*a multi-dimensional concept encompassing democracy, human rights, participation and the rule of law. The State is expected to ensure that human rights and democratic principles are respected, promoted and protected, to ensure people’s safety, to ensure public services delivery to citizens, to ensure transparency in the management of public resources and in decision-making processes, to guarantee the rule of law, to be responsive and accountable and to facilitate civil society participation.*”

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

processes, helping to ensure that public resources are used effectively and efficiently and answering population's priorities, needs and human rights.

Further to this policy, the Delegation of the European Union to South Africa has developed a Roadmap for its engagement with Civil Society in South Africa<sup>5</sup> which identifies the following priorities: capacity building for Civil Society, enabling inclusive dialogue and enhancing partnership between South Africa and Europe.

## **1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES**

The *Socio-Economic Justice for All Programme* with the Department of Justice & Constitutional Development (DoJ&CD) is part of the 2012-13 programming package for the governance sector, funded by the European Union Delegation on behalf of the Republic of South Africa and National Treasury.

### **SOCIO-ECONOMIC JUSTICE FOR ALL PROGRAMME**

The Programme's objective is to support the Department of Justice and Constitutional Development, especially through its constitutional development branch, to fulfil its mandate, with a particular focus on the enhancement of socio-economic rights. The expected results (Key Result Areas), which are based on the Department of Justice and Constitutional Development's Strategic Framework on Socio-Economic Justice, are as follows:

- **KRA1:** Improved awareness of constitutional rights with an emphasis on socio-economic rights and on vulnerable and marginalised groups;
- **KRA2:** Enhanced participatory democracy through public policy dialogue on constitutional rights;
- **KRA3:** Improved and sustained collaboration between Government, Chapter Nine Institutions, Civil society and other stakeholders in terms of justice service delivery and socio-economic rights (including support for Community Advice Offices);
- **KRA4:** Increased research on socio-economic rights and jurisprudence;
- **KRA5:** Improved sector coordination and policy design on Constitutional development; and
- **KRA6:** Strengthened capacity, engagement and participation of CSOs in the realisation of constitutional rights.

This programme, funded via sector budget support, will assist the Government in meeting these expected results, notably through the fulfilment of socioeconomic rights, particularly those of vulnerable and marginalised groups in townships and rural areas.

In addition to the sector budget support component, this programme provides support to CSOs through this Call for Proposals.

The CSOs component of the *Socio-economic Justice for All Programme*, particularly addresses the MIP governance objective 2 (see 1.1) and the strengthening of capacity, engagement and participation of CSOs in the realisation of constitutional rights (corresponding to KRA 1,2,3,4 and 6).

### **OBJECTIVES OF THE CALL FOR PROPOSALS**

The Call for Proposals is foreseen in the Socio-Economic Justice for All Programme in view of promoting oversight, monitoring, advocacy and lobbying activities as well as building capacity of CSOs

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<sup>5</sup>[http://eeas.europa.eu/delegations/south\\_africa/documents/press\\_corner/roadmap\\_brochure\\_en.pdf](http://eeas.europa.eu/delegations/south_africa/documents/press_corner/roadmap_brochure_en.pdf)

active in the field of socio-economic rights and promoting inclusive policy dialogue with Government and relevant institutions.

The European Union aims at strengthening participatory democracy in South Africa and therefore its proposed approach focuses on improving governance practices by supporting initiatives that enhance multi-actor (State/Non-State) dialogue and partnerships.

**The Global Objective of the Call** is to support the enhancement of socio-economic rights.

**The specific objective of the Call** is to promote the advancement and progressive realisation of socio-economic rights, as established in the South African Constitution.

The expected results are the following:

1. Expanded and improved access to socio-economic rights for the most vulnerable groups through
  - i. Improved knowledge on socio-economic rights in South Africa;
  - ii. Improved development of guidelines on socio-economic rights in harmony with international treaties;
  - iii. Improved realisation of socio-economic rights particularly in townships and rural areas.
2. Improved analysis, monitoring and oversight of realization to socio-economic rights through
  - i. Increased community participation in policy implementation and oversight regarded socio-economic rights
  - ii. Improved policy participation, budget analysis and tracking on socio-economic rights;
  - iii. Developed innovative monitoring models for citizen and community; including use of new technologies and media.
3. Improved environment and space for CSOs to operate in Governance, Human Rights and Democratisation fields through
  - i. Strengthened capacity of CSOs to engage in advocacy, policy dialogue and accountability processes to promote access to socio-economic rights
  - ii. Improved CSOs' structuring and joint action in governance and accountability, including through networks;
  - iii. Improved solid and sustainable dialogue with government and oversight institutions, including Chapter 9 institutions and Legislatures.

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

The overall indicative amount made available under this Call for Proposals is **EUR 5.000.000**.

The Contracting Authority reserves the right not to award all available funds. The Contracting Authority may increase the amount available for this Call for Proposals..

#### **Size of grants**

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

- minimum amount: **EUR 500.000**
- maximum amount: **EUR 1.000.000**

Any grant requested under this Call for Proposals must fall between the following minimum and maximum percentages of total eligible costs of the action:

- Minimum percentage: **50% of the total eligible costs of the action.**

- Maximum percentage **80 % of the total eligible costs of the action** (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund.<sup>6</sup>

## 2 RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this Call, in conformity with the Practical Guide, which is applicable to the present call (available on the Internet at this address: <http://ec.europa.eu/europeaid/prag/document.do?locale=en> ).

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **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 applicant and its co-applicant(s) are hereinafter jointly referred as the "applicants"**) (2.1.1),
- and, if any, **affiliated entity(ies)** to the 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).

<b>2.1.1</b> Eligibility of applicants (i.e. applicant and co-applicant(s))
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#### Applicant

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

- be a legal person **and**
- be non-profit-making **and**
- be specific types of organisations such as: non-governmental organisations, organisations representing indigenous peoples, community – based organisations, advocacy organisations, organisations representing national and/or ethnic minorities, diaspora organisations, migrants' organisations in partner countries, local traders' associations and citizens' groups, cooperatives, employers' associations and trade unions (social partners), organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations,

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<sup>6</sup> 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.

environmental, teaching, cultural, research and scientific organisations, universities, education institutions, churches and religious associations and communities, the media and any non-governmental associations and independent foundations, including independent political foundations, public sector operators, local authorities, international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation<sup>7</sup>. However, in case of a multi-beneficiary grant, an International Organisation, a public sector operator, or a local authority cannot be the applicant and

- be established<sup>8</sup> in South Africa or in a Member State of the European Union or other eligible countries as per the relevant provisions of the DCI regulation<sup>9</sup>. This obligation does not apply to international organisations **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 **and**
- be able to demonstrate to have regularly carried out activities in the field covered by this Call for Proposal.

(2) The potential applicant may not participate in calls for proposals or be awarded grants if it is in any of the situations listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address: <http://ec.europa.eu/europeaid/prag/document.do?chapterId=2.3.3.&id=221>)

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

The applicant may act individually or with co-applicant(s). If the applicant is not established in South Africa, the applicant must act with a co-applicant established in South Africa.

If the applicant is an international organisation as defined by Article 43 of the Implementing Rules to the EC Financial Regulation, the applicant must act with a co-applicant established in South Africa.

If awarded the Grant contract, the applicant will become the Beneficiary identified as the Coordinator in annex E3h1 (Special Conditions). The Coordinator is the main interlocutor of the Contracting Authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the Action.

### **Co-applicant(s)**

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

Co-applicant(s) must satisfy the eligibility criteria as applicable to the applicant himself.

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<sup>7</sup> International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.

<sup>8</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.

<sup>9</sup> Please see Annex A2a to the Practical Guide: <http://ec.europa.eu/europeaid/prag/document.do?locale=en>



Co-applicant(s) must sign the Mandate in Part B section 4 of the grant application form.

If awarded the Grant contract, the co-applicant(s)(if any) will become beneficiaries in the Action together with the Coordinator ( Applicant).

### **2.1.2 *Affiliated entities***

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

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

Only entities having a structural link with the applicants, 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 a beneficiary may hence be:

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

- Entities that have entered into a (procurement) contract or subcontract with a beneficiary, act as concessionaires or delegates for public services for a beneficiary,
- Entities that receive financial support from the beneficiary,

- Entities that cooperate on a regular basis with the beneficiary on the basis of a memorandum of understanding or share some assets,
- Entities that have signed a consortium agreement under the grant contract.

#### How to verify the existence of the required link with the beneficiary?

The affiliation resulting from control may in particular be proved on the basis of the consolidated accounts of the group of entities the beneficiary 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 beneficiary constitutes or in which the beneficiary participates.

If the applicants are awarded a 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 applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Part B section 5 of the grant application form.

### **2.1.3 Associates and Contractors**

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

- Associates

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

- Contractors

The grant 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 24months nor exceed 36months.

#### **Sectors or themes**

Sector or themes included but not limited to Human Rights, Socio-economic rights, Democracy, Good Governance, Justice.

## Location

Actions must take place in South Africa.

## Types of action

Financial support under this call for proposal must be aimed at supporting projects, i.e. coherent and self-contained sets of activities designed to achieve a specific objective listed under section 1.2 above with clear target groups, tangible outcomes with relevant indicators, within a limited timeframe.

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 concerned only with procurement of equipment;
- Actions which focus **exclusively** on research;
- Actions supporting political or electoral parties or proselytism and/or supporting violence.

## Types of activity

Under this call for proposals, the activities eligible for financial support may include but not limited to:

- Advocacy and/or awareness raising; Budget and expenditures analysis and monitoring at different levels (local, provincial, national...), Capacity building, training and educational activities; Community groups and stakeholders' consultations; Lobbying; Mediation; Monitoring; Networking; Policy monitoring, Studies/participatory research, Usage of media and creative activities as part of a wider range of public advocacy on socio-economics rights.

## Cross cutting issues<sup>10</sup>

Particular attention should be paid to cross-cutting principles such as empowerment, participation and non-discrimination of vulnerable groups. Applicants have to make sure that cross-cutting issues such as the environment and climate change, fight against HIV/AIDS, if relevant, are taken into account in the design, implementation and monitoring of the action. (Section 1.2.4 of the Grant Application Form)

The promotion of gender equality and women's rights is fundamental to this Call for Proposals and a question of social justice, as well as being instrumental in achieving Socio-economics rights for all Programme' objectives. **With specific regard to gender equality, applicants are invited to analyse relevant gender gaps and to integrate in the proposed actions initiatives in support to gender equality and/or women empowerment.** (Under section 1.2.3, 1.2.4 and 2.1 of the Grant Application Form.

**Applications should anticipate a methodology and an initial set of indicators allowing disaggregated data gathering and monitoring of the implementation of the said cross-cutting issues throughout the action.**

## Sustainability of the action<sup>11</sup>

Special attention should be paid sustainability of the Action (section 2.1.4 of the Grant Application form). Applicants are encouraged to network seeking opportunities for leveraging capacities and resources to

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<sup>10</sup> Cross cutting issues will be considered under the evaluation grid for the concept note (1.4) and under the evaluation grid for the full evaluation (Section 3)

<sup>11</sup> Sustainability will be considered under the evaluation grid for full application ( section 4).

secure the optimum outcomes and greatest potential for longevity and replication. Applicant with more experiences are encouraged to work collaboratively with other organisations to promote cross-fertilisation or learning and capacity building.

Applicants are also expected to show that if their proposed actions will be implemented at national/provincial or sub-provincial/local, they should explain in their proposals how the actions proposed may contribute to the development of sustainable models.

### **Monitoring and evaluation**<sup>12</sup>

Monitoring and evaluation of the action are essential to ensure its success. Monitoring and evaluation should include robust baselines and qualitative and quantitative reporting. If needed, the applicant can include an inception phase of not more than three months to support the establishment of robust baseline and realistic targets if not already available at the design stage ( section 2.1.3 of the Grant Application form).

And in this context, special attention should be paid to the elaboration of the logical framework of the proposed action, so as to ensure the effective planning and implementation of the project, the relevance and feasibility of the objectives and of the proposed activities and the achievability/measurability of the indicators and results. Indicators should be well defined, realistic and sex disaggregated.

### **Financial support to third parties**<sup>13</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.

In compliance with the present guidelines and notably of any conditions or restrictions in this section, applicants 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 contract as to avoid any exercise of discretion.

### **Overlapping of funding**

Every effort should be made to avoid overlapping of funding and duplication of work. The applicant should therefore properly take into account, when identifying the needs and constraints of the target groups, the work done previously or simultaneously by other stakeholders, under EU funding or in the scope of actions financed by other donors.

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<sup>12</sup>Monitoring and evaluation will be considered under the evaluation grid for full application ( Section 3)

<sup>13</sup>These third parties are neither affiliated entity(ies) nor associates nor contractors.

## **Number of applications and grants per applicants**

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

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

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

A co-applicant/affiliated entity may submit more than one application under this Call for Proposals.

A co-applicant/affiliated entity may not be awarded more than one grant 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 Grant 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.

The applicant 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), "LUMP SUM" 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 the applicant 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>14</sup>

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<sup>14</sup> 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

- 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 applicant, by analysing factual data of grants carried out by the applicant or of similar actions and by performing checks established by Annex K.

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

Recommendations to award a grant are always subject to the condition that the checks preceding the signing of the Grant Contract do not reveal problems requiring changes to the budget (such as arithmetical errors, inaccuracies, unrealistic costs and ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. It is not possible to increase the grant or the percentage of EU co-financing as a result of these corrections.

It is therefore in the applicant's interest to provide a **realistic and cost-effective budget**.

### **Eligible direct costs**

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex 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 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 Beneficiary(ies) or affiliated entity(ies) free of charge by a third party. As contributions in kind do not involve any expenditure for a Beneficiary(ies) or affiliated entity(ies), 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.

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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.

### **Costs related to capacity building**

Under its Roadmap of engagement with civil society in South Africa<sup>15</sup>, the EU Delegation intends to support capacity building of Civil Society Organisations. This is also aligned with KRA6 of the *Socio-economic Justice for All Programme* with the DOJ and CD.

In this regard, the Applicant **can allocate up to 6% of its direct eligible costs of the action to internal capacity building** of its staff, its co-applicant(s) and its affiliated entities - including for example costs related to trainings, studies, strategic meetings, facilitation, coaching - on condition that these activities **contribute to improving the quality of the implementation of the action and its potential impact, and the advancement of the organisation.**

In this case, the applicant will have to submit a capacity needs assessment and organisational capacity development plan for its organisation as well as for its co-applicant(s), its affiliated entities in the implementation of the Action. The capacity needs assessment and the organisational capacity development plan has to be included under Methodology section of the Grant Application form (Section 2.1.2 vi, vii). In additional, the detailed provision should be done in the Budget under the heading 6 'other' (annex B of the Guidelines) and the detailed and clear justification has to be presented in the justification tab of the Budget.

If awarded the Grant contract, the applicant proposed capacity development plan will be discussed and agreed on with the EU Delegation.

### **Cost related to consultations in Gauteng**

Within its budget and under budget headings "1.Human resources/1.3 per diem for missions/travel" and under "2.Travel/2.2Local transportation", the applicant and its co-applicant(s) should budget transport and per diem<sup>16</sup> for bi-annual meetings in Johannesburg/Pretoria to report on activities and to network with other EU-funded beneficiaries and to meet with relevant government representatives involved in *the Socio-Economic Justice for All programme*. (Maximum 3 persons per entity)

### **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. ( see section 2.1.2 ix of the Grant Application Form)

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) ).

Applicants will have to develop a communication plan within 6 months after signature of the contract. The approved plan will be annexed to the contract and may lead to an amendment to the contract.

### **Ineligible costs**

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<sup>15</sup> [http://eeas.europa.eu/delegations/south\\_africa/documents/press\\_corner/roadmap\\_brochure\\_en.pdf](http://eeas.europa.eu/delegations/south_africa/documents/press_corner/roadmap_brochure_en.pdf)

<sup>16</sup> See applicable rates to the per diems in the framework of EC-funded external aid contracts on [https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-18032015\\_en](https://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-18032015_en)

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 to the final beneficiaries and/or local Beneficiary(ies), at the latest at the end of the action;
- currency exchange losses;
- salary costs or honorarium of public officials.

## 2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

### Prior registration in PADOR for this Call for Proposals is obligatory

PADOR is an on-line database in which organisations register and update information concerning their entity. Organisations registered in PADOR get a unique EuropeAID ID (EID) which they must use when they submit an application.

PADOR is accessible via the website: [http://ec.europa.eu/europeaid/pador\\_en](http://ec.europa.eu/europeaid/pador_en)

- **Phase 1, concept note:** Registration in PADOR is obligatory for an applicant applying for grants above EUR 60 000.

Registration is optional though strongly recommended for:

- An applicant applying for grants of EUR 60 000 or less;
- co-applicant(s) and affiliated entity(ies).
- **Phase 2, full proposal:** Registration in PADOR is obligatory for all pre-selected applicants, co-applicant(s) and all their affiliated entity(ies).]

**It is strongly recommended to register in PADOR before you start drafting your proposal and not to wait until just before the deadline of submission.** Before starting to register your organisation in PADOR, please read the ‘Quick guide’ on the website. It explains the registration process.

When submitting your proposal you must indicate your EuropeAid ID (EID). However, if it is impossible for the organisation to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) concerned must complete the ‘PADOR off-line form’<sup>17</sup> attached to these Guidelines and send it by the submission deadline, together with the application. The registration in PADOR will then be carried out by the European Commission service in charge of the Call for Proposals. If, at a later stage, the organisation wishes to update its data itself, it will have to send an access request to the PADOR helpdesk.

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).

### 2.2.1 Concept Note content

Applications must be submitted in accordance with the Concept Note instructions in the Grant Application Form annexed to these Guidelines (Annex A).

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17 Which corresponds to Sections 3 and 4 of Part B of the application form.



Applicants must apply in English

In the Concept Note, applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority and an indicative percentage of that contribution in relation to the total amount of the Action. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements outlined in the Concept Note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 200%. Applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines in section 1.3. Own contributions by the applicants can be replaced by other donors' contributions at any time.

Any error or major discrepancy related to the points listed in the Concept Note instructions may lead to the rejection of the Concept Note.

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

Hand-written Concept Notes will not be accepted.

Please note that 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.

### **2.2.2 Where and how to send Concept Notes**

#### **Online submission:**

The Concept Note together with the Checklist for the Concept Note (Part A section 2 of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section 3 of the grant application form) **must be submitted online via PROSPECT** <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the PROSPECT users' manual.

**Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A section 2 of the grant application form). Incomplete concept notes may be rejected.**

Upon submission of a Concept Note online, applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

#### **Exceptions:**

If it is impossible for 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 Checklist and Declaration by the applicant (to be found in **Part A sections 2 and 3** of the grant application form). In particular, the applicant must send, in a sealed envelope as described below, the following items:

a. One original of the Concept Note. The Checklist (Part A section 2 of the grant application form) and the signed Declaration by the applicant (Part A section 3 of the grant application form) must be printed and stapled separately and enclosed in the envelope

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

c. An electronic version (e.g CD-Rom) of the items under point (a). The electronic file must contain **exactly the same** application as the paper version enclosed.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the applicant, and the words 'Not to be opened before the opening session'. 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 applicants send several Concept Notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately:

**Postal address**

European Union Delegation to South Africa

P.O. Box 945

Groenkloof

0027-Pretoria

**Address for hand delivery or by private courier service**

European Union Delegation to South Africa

1 Greenpark Estates - 27 George Storrar Drive

0027-Pretoria

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

<b><i>2.2.3 Deadline for submission of Concept Notes</i></b>
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The deadline for the submission of applications is **19/08/2015 at 17:00** (Brussels date and time).

Applicants are strongly advised not to wait until the last day to submit their Concept Notes, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such afore-mentioned 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 17:00 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).

<b><i>2.2.4 Further information about Concept Notes</i></b>
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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-S-AFRICA-CALL-FOR-PROPOSALS@eeas.europa.eu](mailto:DELEGATION-S-AFRICA-CALL-FOR-PROPOSALS@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 applicants, affiliated entity(ies), an action or specific activities.

Questions that may be relevant to other applicants, together with answers and other important notices in 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 the need arises. 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)

### **2.2.5 Full Application forms**

An applicant invited to submit a full application form following pre-selection of its Concept Note must do so using Part B of the application form annexed to these Guidelines (Annex A). Applicants should then keep strictly to the format of the application form and fill in the paragraphs and pages in order.

The elements outlined in the Concept Note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20 %, although 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.

Applicants must submit their full applications in the same language as their Concept Notes.

Please complete the full application form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section 7 of the Grant Application form) or any major inconsistency in the full application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

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

### **2.2.6 Where and how to send Full Application forms**

#### **Online submission:**

Full Applications must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the users' manual

**Applicants must verify that their application is complete using the checklist (Section 7 of Part B of the grant application form). Incomplete applications may be rejected.**

Upon submission of the Full Application online, applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

#### **Exceptions:**

(a) If the 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 / hand delivery).

(b) If the 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 applicant must send by post the application, i.e. the Full Application, the Budget and the Logical framework. In particular, the 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 Checklist (Section 7 of Part B of the grant application form) and the Declaration by the applicant (Section 8 of Part B of the grant application form) must be printed and stapled separately and enclosed in the envelope

b. two copies in A4 size, each bound.

c. An electronic version (e.g. CD-Rom) 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 applicants send several applications (if allowed to do so by the Guidelines of the Call), each one must be sent separately:

#### **Postal address**

European Union Delegation to South Africa

P.O. Box 945

Groenkloof

0027-Pretoria

#### **Address for hand delivery or by private courier service**

European Union Delegation to South Africa

1 Greenpark Estates - 27 George Storrar Drive

0027-Pretoria.

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

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

### ***2.2.7 Deadline for submission of Full Application forms***

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

Applicants are strongly advised not to wait until the last day to submit their Full Applications, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contacting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

In the case of submission by post, (see section 2.2.6), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 17:00 as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

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

### **2.2.8 Further information about Full Application forms**

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

E-mail address [DELEGATION-S-AFRICA-CALL-FOR-PROPOSALS@eeas.europa.eu](mailto:DELEGATION-S-AFRICA-CALL-FOR-PROPOSALS@eeas.europa.eu)

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

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

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

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

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

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1, the application will be rejected on this sole basis.

## STEP 1: OPENING&ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

The following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The Concept Note satisfies all the criteria specified in points 1-5 of the Checklist in Section 2 of Part A of the grant application form. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The Concept Notes that pass the first administrative check will be evaluated on the relevance and design of the proposed action.

The Concept Note will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on the Concept Note, which can be found in Part A of the Application Form.

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

### 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 with other partners)?*	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 <i>[and the other additional elements indicated under 1.2. and 2.1.2 of these Guidelines]</i> ?	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>

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

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

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

Firstly, only the Concept Notes with a score of at least 30 will be considered for pre-selection.

Secondly, the number of Concept Notes will be reduced, taking account of the ranking, to the number of Concept Notes whose total aggregate amount of requested contributions is equal to 200% of the available budget for this Call for Proposals. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot.

After the evaluation of Concept Notes, the Contracting Authority will send letters to all applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the Concept Note was evaluated and the results of that evaluation. The letter will appear online automatically in the PROSPECT profile of the applicant. Applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will receive the letter by post.

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



## STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- Compliance with the submission deadline. If the deadline has not been met, the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-9 of the Checklist (Section 7 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

The quality of the applications, including the proposed budget and capacity of the applicants and affiliated entity(ies), will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the applicant's financial capacity and to ensure 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;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any affiliated entity(ies).

**The award criteria** help to evaluate the quality of the applications in relation to the objectives and priorities, and to award grants to projects which maximise the overall effectiveness of the Call for Proposals. They help to select applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the Call for Proposals, quality, expected impact, sustainability and cost-effectiveness.

*Scoring:*

The evaluation grid is divided into sections and subsections. Each subsection will be given a score between 1 and 5 as follows: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

### Evaluation Grid

Section	Maximum Score
<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?:  - financially ( <i>how will the activities be financed after the funding ends?</i> )  - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local 'ownership' of the results of the action?</i> )  - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> )  - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	5
<b>5. Budget and cost-effectiveness 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>

#### *Provisional selection*

After the evaluation, a table will be drawn up listing the applications ranked according to their score and within the limits of the funds available. In addition, a reserve list will be drawn up following the same criteria to be used if more funds should 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, based on the supporting documents requested by the Contracting Authority (see Section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section 8 of Part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants, the affiliated entity(ies), and the action 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 financial envelope.

## 2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

An applicant that 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 applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)<sup>18</sup>:

Supporting documents must be provided through PADOR, see Section 2.2

1. The statutes or articles of association of the applicant, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies)<sup>19</sup>. Where the Contracting Authority has recognised the 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>20</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s)).

This obligation does not apply to public bodies and international organisations provided that the international organisation in question offers the guarantees provided for in the applicable Financial Regulation, as described in Chapter 6 of the Practical Guide.

3. A copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>21</sup>. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by each of the applicants (i.e. by the applicant and (if any) by each co-applicant(s)), 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.
5. A financial identification form of the applicant (not from co-applicant(s)) 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 applicant is established. If the 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.
6. If the applicant is a NPO or Section 21 registered in South Africa, a copy of its Constitution, the list of its board members and a copy of the signed minutes of the latest board meeting.

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

19 Where the 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.

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

21 This obligation does not apply to natural persons who have received a scholarship or that are in most need in receipt of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.4.2.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

Where such documents are not in one of the official languages of the European Union or in the language of the country where the action is implemented, a translation into English of the relevant parts of these documents proving the applicant(s)'s 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 applicants' eligibility, into English.

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

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 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 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 appear online automatically in the PROSPECT profile of the applicant. Applicants who, in exceptional cases (see Section 2.2), had to submit their application by post or hand-delivery, will be informed in writing.

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*

	<b>DATE</b>	<b>TIME*</b>
<b>Information meeting (if any)</b>	< Date / Not applicable >	< Time / Not applicable >
<b>Deadline for requesting any clarifications from the Contracting Authority</b>	29/07/2015	17:00
<b>Last date on which clarifications are issued by the Contracting Authority</b>	08/08/2015	Not applicable
<b>Deadline for submission of Concept Notes</b>	19/08/2015	17:00
<b>Information to applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	25/08/2015	Not applicable
<b>Invitationsto submit Full Application Form</b>	05/09/2015	Not applicable
<b>Deadline for submission of Full Application Form</b>	25/10/2015*	17:00
<b>Information to applicants on the evaluation of the Full Application Form (Step 2)<sup>22</sup></b>	16/11/2015*	Not applicable -
<b>Notification of award (after the eligibility check) (Step 3)</b>	01/12/2015*	Not applicable -
<b>Contract signature<sup>23</sup></b>	14/12/2015*	Not applicable -

\***Provisional date.** All times are in local time.

This indicative timetable 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>

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 Contracting Authority's 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

<sup>22</sup>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.

<sup>23</sup>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

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.

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

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:

- Commission Decision of 16.12.2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 344, 20.12.2008, p.125) or
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

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

### 3 LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Excel format)<sup>24]</sup>

Annex D: Legal Entity Sheet<sup>25]</sup>

Annex E: Financial identification form]

Annex F: PADOR off Line Form<sup>26]</sup>

#### DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

- Annex II: General conditions

- Annex IV: contract award procedures

- 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/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013\\_en](http://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013_en)

Annex I: Derogation International organisation

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.

#### 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

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24 Optional where the total amount of the grants to be awarded under the Call for Proposals is EUR 100 000 or less.

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

26 [https://ec.europa.eu/europeaid/search/site/pador\\_en](https://ec.europa.eu/europeaid/search/site/pador_en) - only applicable in calls under direct management where PADOR is used.



[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)

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