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**Contracting Authority**: European Commission

Civil Society Fund III

**CSF III Call for Proposals for Large Grants 2019**

**Guidelines for grant applicants**

**11th European Development Fund[[1]](#footnote-1)**

Reference: EuropeAid/163926

Deadline for submission[[2]](#footnote-2)of concept notes:

**23/05/2019 at 15:00 (Brussels date and time)**

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

**NOTICE**

This is a restricted call for proposals. In the first instance, only concept notes (Part A of the grant application form) must be submitted for evaluation. Thereafter, lead applicants who have been pre­selected will be invited to submit a full application. After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the contracting authority and the signed ‘declaration by the lead applicant’ sent together with the full application.

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

To help applicants familiarise themselves with the system before the online submission, information sessions will be organised on April 11, 2019 (Saphire Addis Hotel, Addis Ababa), April 12 (Mekelle and Bahir Dar), April 15 (Assossa and Gambella), April 17 (Dire Dawa and Hawassa), and April 18 (Semera).

Should you be interested in this session, please send an email by April 9, 2019 to [DELEGATION-ETHIOPIA-CSFIII@eeas.europa.eu](mailto:DELEGATION-ETHIOPIA-CSFIII@eeas.europa.eu) indicating: name, surname, nationality and email address of the persons who are going to participate as well as their organisation (max. two participants per organisation). No costs incurred by the applicants for attending this information session are reimbursable.

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.[[4]](#footnote-4)

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# CSF III: CALL FOR PROPOSALS FOR LARGE GRANTS 2019–

**THE PARTICIPATION OF CITIZENS AND CIVIL SOCIETY ORGANISATIONS IN THE DEVELOPMENT AND DEMOCRATISATION PROCESS OF THE COUNTRY**

## 1.1 B**ackground**

The Cotonou Agreement is the overarching framework for EU relations with African, Caribbean and Pacific (ACP) group of countries, signed in Cotonou in June 2000, and revised in Luxembourg and Ouagadougou in 2005 and 2010 respectively. This partnership Agreement covers a 20-year period from 2000 to 2020. The EU finances most of its development programmes for ACP partner countries through the European Development Fund (EDF). The Cotonou Agreement aims to reduce and eventually eradicate poverty and contribute to the gradual integration of the ACP countries into the world economy. The Cotonou agreement will expire in February 2020. Work has begun to lay the groundwork for the future partnership with the ACP countries. The development cooperation between Ethiopia and the European Union is governed by this partnership Agreement.

Although Ethiopia has a long history of mutual self-help organizations and informal community groups, the establishment of formal charities and societies is a relatively recent development. Despite the significant role expected of civil society in the socio-economic sphere, regulatory and capacity challenges to date have limited the space the sector can take up.

Until recently, the regulatory framework in place since 2009 governing the operation of the civil society in Ethiopia was the Charities and Societies Proclamation No. 621/2009. This proclamation profoundly re-oriented the shaping of, and rules relating to, associational life among Ethiopia’s citizens by imposing restrictions on how civil society organizations can operate. Following consultations at national and regional levels, a new law (Civil Society Proclamation 1113/2019) was approved by the House of People’s Representatives on 05 February 2019. While the new proclamation will give a significant boost to the operation of civil society, the limited financial and operational capacities of CSOs still need to be addressed if the sector is to become vibrant again, and take up its rightful space in the country’s political, social and economic spheres.

The European Union’s (EU) support to civil society stems from its conviction that a genuinely independent, pluralistic and vibrant civil society is central to a country’s development and stability, to ensuring democracy and human rights, building inclusive societies and to achieving the Sustainable Development Goals (SDGs). The EU-supported Civil Society Fund (CSF) in Ethiopia started in 2006, and was implemented up to the end of 2018 in two phases. Following the successful implementation and lessons learnt from the two previous interventions, CSF-III started implementation in December 2018.[[5]](#footnote-5)

## **1.2 Objectives of the programme and priority issues**

The global objective of this call for proposals is:

***To increase the participation of citizens and CSOs in the development and democratization process of the country.***

The specific objective(s) of this call for proposals are:

* ***Strengthening citizens’ voice for policy dialogue;***
* ***Reinforcing citizens’ role in the monitoring of national policies; and,***
* ***Strengthening the sustainability and contribution of CSOs, including those working on gender equality and women’s empowerment, and of women’s groups to the development and democratisation process.***

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

* Actions must focus on strengthening the capacity of CSOs and their networks to engage in structured, evidence-based policy dialogue and effectively influence Government’s reform processes and nation-building interventions at Regional and Federal levels;
* Actions must facilitate partnership opportunities amongst CSOs (including the media and academia), building on existing networks, supporting emerging networks, and encouraging the building of coalitions and the creation of platforms to exchange knowledge and create momentum and collective positions on common issues of interest;
* Actions must support the creation of an enabling environment to ensure the development of a credible, accountable, independent, inclusive civil society sector with the capacity and space to act as an interlocutor between citizens and the state, and undertake strategic engagement with all levels of Government in order to reinforce the democratic process.

(These priorities are reflected in concept note evaluation criterion 1.1.)

The following will be considered as added-value elements (and reflected in evaluation criterion 1.4 of the concept note):

* The adoption of a gender mainstreaming approach to project design (and subsequent implementation);
* The targeting of hard to reach, vulnerable and marginalised groups of society – including the elderly, the youth, people with disabilities, pastoralists, minorities and those most effected by ethnic violence – and equal participation of such groups in project activities;
* The incorporation of principles that enhance social cohesion and inclusivity in peaceful transformation;
* The use of innovation and best practices.

(For further information on which kinds of activities one would have to propose in order to be eligible, please refer to section 2.1.4.)

## **1.3 Financial allocation provided by the contracting authority**

The overall indicative amount made available under this call for proposals is **EUR 11,750,000**. The contracting authority reserves the right not to award all available funds.

**Indicative allocation of funds by lot:**

**Lot 1: Democratic Governance and Rule of Law: EUR 5,875,000**

**Lot 2: Service Delivery and Community Engagement: EUR 3,525,000**

**Lot 3: Gender equality, women’s and girls’ empowerment and protection: EUR 2,350,000**

(For the sectors / themes covered under each lot, please refer to section 2.1.4).

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 other lots.

**Size of grants**

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

In the case of applications from individual organizations:

* minimum amount: EUR 150,000
* maximum amount: EUR 300,000.

In the case of applications from networks or consortia of organisations (with legal personality) or a local Individual Organisation (as coordinator) in partnership with one or more local or International NGOs (as co-applicants):

* minimum amount: EUR 300,000
* maximum amount: EUR 500,000.

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: 95% of the total eligible costs of the action (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the contracting authority) must be financed from sources other than the general budget of the Union or the European Development Fund[[6]](#footnote-6).

The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the lead applicant must justify full financing in Section 2.1 of Part B of the grant application form. The validity of the justification provided will be examined during the evaluation procedure. The absence of any justification may lead to the rejection of the application.

# 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)](http://ec.europa.eu/europeaid/prag/document.do?locale=en).[[7]](#footnote-7)

## **2.1 Eligibility criteria**

There are three sets of eligibility criteria, relating to:

1. the actors:

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

1. the actions:

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

1. the costs:

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

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

Lead applicant

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

* be a legal person, **and**
* be non-profit-making, **and**
* be a local civil society organisation formed under the laws of Ethiopia. Such entities include non-governmental organisations; faith-based development organisations; mass-based associations (including youth, women, disabled, elderly, etc); professional associations; trade unions and labour federations; employers’ federations, chambers of commerce and other not-for-profit private sector entities; non-profit institutes of higher learning and research; consortiums (including consortia of consortiums and networks of local CSOs), **and**
* be established in[[8]](#footnote-8) the Federal Democratic Republic of Ethiopia, **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 that they have experience in carrying out activities implemented in the fields covered by this Call for Proposals.

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

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the practical guide, personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract.

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

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

If awarded the grant contract, the lead applicant will become the beneficiary identified as the coordinator in Annex E3h1 (special conditions). The coordinator is the main interlocutor of the contracting authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinates the design and implementation of the action.

Co-applicant(s)

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

Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant himself, except that they do not need to be established in the Federal Democratic Republic of Ethiopia.

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

* Non-governmental organizations established in European Union or African Union Member States, and registered to operate in Ethiopia.

For British applicants: Please be aware that eligibility criteria must be complied with for the entire duration of the grant. Unless sector-specific eligibility rules provide otherwise[[9]](#footnote-9), if the United Kingdom withdraws from the EU during the grant period without concluding an agreement with the EU ensuring in particular that British applicants continue to be eligible, you will cease to receive EU funding (while continuing, where possible to participate) or will be required to leave the project on the basis of Article 12.2 of the grant agreement general conditions.

**Note: Only one non-Ethiopian partner is permitted per application.**

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

(3) Applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG) at the moment of the award decision cannot be awarded the contract[[10]](#footnote-10).

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

### *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 co­applicants):

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:

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

Entities affiliated to an applicant may hence be:

* Entities directly or indirectly controlled by the applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by the applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
* Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;

- Entities under the same direct or indirect control as the applicant (sister companies).

1. Membership, i.e. the applicant is legally defined as, for example, a network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.

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

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

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation contracts and financial support to third parties) may be accepted as eligible costs, provided they comply with all the relevant rules already applicable to the beneficiary(ies) under the grant contract.

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

### *2.1.3. Associates and contractors*

The following are not applicants or affiliated entities and do not have to sign the ‘mandate for co-applicants(s)’ or ‘affiliated entities’ statement:

* Associates.

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

• Contractors

The beneficiaries and their affiliated entities are permitted to award contracts. Associates or affiliated entity(ies) cannot be also contractors in the project. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

### *2.1.4. Eligible actions: actions for which an application may be made*

**Definition:**

An action is composed of a set of activities.

**Duration:**

The initial planned duration of an action may not be lower than **24 months** nor exceed **36 months**.

**Sectors or themes:**

The themes covered under this call relate to those addressed under **SDG 16** (Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels); **SDG 10** (Reduce inequality within and among countries); and **SDG 5** (Achieve gender equality and empower all women and girls).

Actions should relate to the themes that underpin each of the lots described in section 1.3 as follows:

**Under lot 1 (Democratic Governance and Rule of Law)**, there are five themes that may be addressed by proposed actions:

* **Oversight of local and national policies, budgets and legal frameworks:** This theme is linked to provision of the necessary capacity and tools for CSOs and citizens to engage in evidence-based policy dialogue, formulation, analysis and monitoring, thereby increasing accountability and enabling the emergence of policies, laws and interventions that promote greater equality in society.
* **Promotion and defence of human rights:** This theme targets the promotion and defence of human rights and fundamental freedoms, especially of those most vulnerable to violations, and the monitoring, analytical, research and advocacy skills and activities needed to address such issues.
* **Land Ownership & access to and control over land:** This theme deals with land ownership, and in particular the mechanisms needed to address restrictive access to land, especially on the part of women.
* **Nation-building and peaceful co-existence:** This theme relates to the reinforcement of ongoing reforms and nation-building processes, and the cultivation of peaceful co-existence amongst the country’s ethnically diverse and youthful population. Although the focus should be on the creation of on-the-ground conditions that support peace, especially in border areas prone to inter-ethnic conflict, interventions should also contribute to initiatives at national level, and improve relations between the Government and the various peoples of Ethiopia.

**Under lot 2 (Service Delivery and Community Engagement)**, there are four themes that may be addressed by proposed actions:

* **Access to justice:** This theme invites proposals that increase access to justice, especially for those who cannot afford legal representation or have been victims of discrimination or torture, and/or enhance justice systems.
* **Environment and natural resources:** This theme relates to the environment and access to, and control of resources, especially from governance and rights perspectives, and the needs of marginalised groups in this sector.
* **Pastoralism and villagization:** This theme focusses on issues related to pastoralism and villagization, particularly in relation to communities in the Omo Valley, Afar and Somali region.
* **Hard to reach vulnerable groups:** This theme under lot 2 involves the delivery of services targeting vulnerable and marginalised groups and those in need in order to reduce poverty, protect their rights and facilitate their socio-economic empowerment.

**Under lot 3 (Gender equality, women’s and girls’ empowerment and protection)**, there are three themes that may be addressed by proposed actions:

* **Gender-based Violence (GBV) / Violence against women and girls (VAWG):** This theme relates to gender-based violence and violence against women and girls, and includes a wide range of possible interventions, from awareness raising and advocacy, to the delivery of specific services and legal redress.
* **Protection of women and children:** This theme deals with the protection of women and girls from violence and sexual abuse, as well as the provision of physical and psychological support to survivors.
* **Fighting inequality and strengthening the voice and participation on women in society:** This theme focusses on the fight against inequality and gender stereotypes. It also encourages proposals that strengthen the voice of woman and their meaningful participation in social, political and economic decision-making processes at all levels.

**Gender equality** (as well as being the subject of an entire lot), should be mainstreamed in all proposed Actions. Similarly, whilst the theme of **Nation-building and peaceful co-existence** is dealt with explicitly under lot 1, the cultivation of **democratic values**, **social cohesion** and **inclusivity** in peaceful transformation should be considered pertinent to all lots. Likewise, in keeping with the objectives of CSF III, all interventions will be expected to consider ways of increasing **participation**, especially of the marginalised, and strengthening **citizen’s voice in policy processes**. **Capacity-building** and the value of **partnerships** should also be reflected throughout the Call process. Overlap between the thematic areas of the lots is possible and will not be considered a hindrance. If a proposal can be attributed to more than one lot as a result of diverse activities, applicants should choose the lot that best represents their overall objective.

**Location:**

Actions must take place in the Federal Democratic Republic of Ethiopia.

**Types of action:**

The following, non-exhaustive list of actions (listed by lot) may be funded under this call.

**Lot 1: Democratic Governance and Rule of Law**

In continuation of the previous CSF II, CSF III aims at increasing CSOs’ participation in the development and democratisation process. CSOs are ascribed an intermediary function between the state and its citizens to transmit citizens’ and their constituencies’ concerns to the political sphere. CSOs should become an integral part of policy dialogue, be part of the decision-making process and hold government accountable, thereby playing an oversight function over national and regional policies.

Oversight:

* Knowledge generation and access to information (on societal issues and remedies, local and national policies and budgets)
* Research, policy analysis, policy briefs and evidence-based dialogue
* Anti-corruption activities and transparency
* Holding service providers and local administrations accountable in-service delivery (effectiveness, quality and access)
* Reducing inequality: promoting policies, especially fiscal, wage and social protection policies, and progressively achieving greater equality
* Engaging in policy monitoring and analysis of public policies
* Participatory processes, community conversations, focus group discussions (to allow communities to voice their concerns) and create opportunities for voicing concerns
* Setting up or reinforcement of local networks
* Actions boosting citizens’ and community structures
* Activities surrounding processes by which laws are enacted, administered, enforced, and which are accessible, fair, and efficient, and efficiency of the justice system.

Human Rights:

* Support for human rights defenders
* Monitoring activities (problematic legislation, implementation of laws and effects, fundamental freedoms, torture)
* Prisoners’ rights, rehabilitation and reintegration (including psychosocial support)
* Abolition of the death penalty
* Advocacy activities
* Research activities
* Accountability: shadow reports on UPR, National Human Rights Action Plan II, Growth and Transformation Plan II
* Harmful traditional practices.

Land ownership:

* Advocacy activities
* Public interest litigation
* Mediation and alternative dispute resolution
* Facilitation of access to title deeds
* Women’s access to and control over land.

Nation-building and peaceful co-existence:

* Addressing inequalities, promoting equality and respect for diversity
* Combatting ethically-based social exclusion and intolerance
* Promoting inter-ethnic understanding, communication and partnership
* Media promotions on social cohesion/capital
* Identification and promotion of good practices in social solidarity and nation building
* Initiatives to bring all citizens closer to the Sate in building a collective future
* Conflict resolution, mediation and alternative dispute resolution
* Facilitating reconciliation processes and building positive relationships between people of different cultures at community level
* Initiatives that reach across ethnic divides, especially targeting the youth and those most affected by conflict (eg. inter-regional dialogue fora, exchange visits, arts/culture/sports events).

**Lot 2: Service Delivery and Community Engagement**

To contribute to the development process of the country, the goals of the Growth and Transformation Plan II, and to play their part in poverty alleviation, CSOs should engage in service delivery for citizens in need, and especially vulnerable groups (including women; children; the elderly; youth; those with disabilities and pastoralists, etc), involving and strengthening the role of the community and citizens in the process. Innovative approaches with the potential to generate lessons relevant to higher, policy levels, are particularly encouraged.

Access to justice:

* Establishment of legal aid centres/clinics / Provision of legal aid / Rights education
* Public interest litigation
* Child friendly courts
* Training for justice stakeholders
* Legal and psychosocial support for torture victims
* Workers’ rights.

Environment and Natural Resources Management:

* Resilience building
* Climate change mitigation and adaption
* Forest management, including afforestation and reforestation
* Fodder tree planting
* Community participation and engagement strategies
* Promotion of renewable and appropriate (climate smart) technologies
* Actions related to Ethiopian Extractive Industries Transparency Initiative (EEITI)
* Development and implementation of strategies that range from conservation/reclamation works, enforcement of environmental laws/norms and demanding accountability from responsible entities
* Horticultural crops production and improved agricultural methods and their promotion.

Pastoralism and villagization:

* Adaptation to new settings
* Pastoralist initiatives to address resource limitations
* Actions that ensure agricultural productivity increases in pastoral communities.

Vulnerable citizens/disabled citizens/indigenous groups

* Provision of legal/social/medical services
* Economic empowerment
* Education, especially mother tongue training
* Child protection
* Development and implementation of youth engagement policies and strategies.

**Lot 3: Gender equality and women’s and girl’s empowerment and protection**

Activities in this lot can range from advocacy activities to concrete service delivery activities. While gender is also a cross-cutting issue and should be mainstreamed throughout all activities, the disadvantaged situation of women and girls in many areas as well as the wide-spread stereotypes and forms of violence against women and girls demand concrete targeted actions.

Gender-based Violence (GBV)/Violence against women and girls (VAWG):

* Support political, legislative, judicial, & law enforcement action for compliance with agreed standards that drive gender equality and action to penalise all VAWG and gender-based violence and to protect victims
* Support initiatives to tackle the culture of impunity with regards to sexual and gender-based violence and enforce prosecution of perpetrators
* Improve the capacity of the judiciary and law enforcement to provide redress to VAWG victims, in line with international standards
* Engage in community awareness programmes on sexual and gender-based violence
* Reduce harmful traditional practices including FGM/C.

Protection:

* Support coverage for the protection of girls and women (shelters, hotline services, etc)
* Support healthcare services and psychological and physical recovery and social reinsertion of survivors of sexual and gender-based violence.

Fight inequality and stereotypes and strengthen voice/participation in society:

* Advocate equal rights to economic resources, as well as access to ownership and control over land and other forms of property, financial services, inheritance and natural resources, in accordance with national laws
* Support community, peer-to-peer, outreach and mobilisation action, involve men and boys, engage with leaders and figures of authority to promote the rights of girls and women of all ages and to increase the value placed on them by their own communities
* Adopt and strengthen sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels
* Support women, men and boys and their associations as agents for change towards gender equality
* Promote public debate on non-discriminatory gender relationships
* Facilitate equal representation in political and economic decision-making processes
* Empower women and girls to speak for themselves and find their voice.

The following types of action are ineligible:

* actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
* actions concerned only or mainly with individual scholarships for studies or training courses;
* one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the project life-time. Pre and post conferences activities (such as preparation, proceedings, publications, etc) do not in themselves constitute such “wider activities”;
* actions concerned solely with a narrow interpretation of institutional or organisational strengthening of applicants with activities that could indicatively include material support (logistics, equipment, vehicles, etc) or human resources (applicants’ skills development processes or additional staff), etc;
* actions which consist exclusively or primarily in capital expenditures (e.g. land, buildings, equipment and vehicles);
* actions engendering any form of discrimination against individuals or groups on the grounds of gender, ethnicity, sexual orientation, political affiliation, religious belief or lack of them, age or disability and health status;
* actions pursuing a narrow political agenda or supporting political parties;
* actions of a proselyte nature.

**Types of activity:**

The types of activity which may be financed under this call are those which will directly contribute to the achievement of the objectives, priorities and main principles set out in section 1.2 above, within the confines of the themes and sectors outlined in section 2.1.4 above.

Activities may include, but are not limited to:

* Capacity building and skills development interventions;
* Scaling up of existing and innovative initiatives focused on identified basic social services bottlenecks in the priority areas of the GTP2, EU-Ethiopia cooperation, and the Sustainable Development Goals;
* Development and application of tools, mechanisms, systems, methodologies;
* Strategic public interest litigation (including but not limited to class action or constitutional litigation) and quasi-judicial and non-judicial redress mechanisms;
* Advocacy;
* Local consultation processes and community/constituency mobilisation interventions;
* Joint projects, alliances or partnership formation, networking and coalition building;
* Research actions in support of other activities (especially participatory forms of research);
* Participation in policy and legal processes and oversight initiatives;
* Civic engagement in policy formulation and monitoring;
* Civic and public education and information sharing;
* Production, collection and dissemination of knowledge;
* Awareness raising;
* Building platforms for civic engagement.

Financial support to third parties[[11]](#footnote-11)

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

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

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

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

1. the overall objectives, the specific objective(s) and the outputs[[12]](#footnote-12) (i.e. the results) to be achieved with the financial support
2. the different types of activities eligible for financial support, on the basis of a fixed list
3. the types of persons or categories of persons which may receive financial support
4. the criteria for selecting these entities and giving the financial support
5. the criteria for determining the exact amount of financial support for each third entity, and
6. 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 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-](%20http://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).

**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, irrespective of the lot at the same time.

A co-applicant/affiliated entity may not be the co-applicant or affiliated entity in more than two applications under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than two grants 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:

* financing not linked to costs of the relevant operations based on:

1. either the fulfilment of conditions set out in sector specific legislation or Commission Decisions; or
2. the achievement of results measured by reference to the previously set milestones or through performance indicators;

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

Simplified cost options may take the form of:

- **unit costs**: covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.

- **lump sums**: covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.

- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

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

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

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

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). Determining SCO is possible also through ‘expert judgement’ provided by internally available experts or procured in accordance with the applicable rules. Experts must be either commissioned auditors or chartered accountants, or staff of the Commission but cannot be staff of the beneficiary. The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for the details of the procedure to be followed depending on the type and amount of the costs to be declared as SCO.

Applicants proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to ‘UNIT COST’ (per month/flight etc.), ‘LUMPSUM’, ‘FLAT RATE’ in the Unit column (see example in Annex K).

Additionally, in Annex B, in the second column of worksheet no.2, ‘Justification of the estimated costs’ per each of the corresponding budget item or heading applicants must:

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc for output or result based SCO;

- clearly explain the formulas for calculation of the final eligible amount for output or result based

SCO[[13]](#footnote-13).

- make reference to the previously obtained ex-ante assessment for other/recurrent SCOs.

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

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

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

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

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

The responsible authorising officer may consider that the usual cost accounting practices of the beneficiary are compliant with the conditions applicable to simplified cost options, if they are accepted by national authorities under comparable funding schemes. In this case the grant beneficiary shall demonstrate that the national authority accepted the cost accounting practices and will have to specify in which context this acceptance is given.

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

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 authorization of the contracting authority.

Eligible indirect costs

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding, but the total must not exceed 7% of the estimated total eligible direct costs. Indirect costs are eligible provided that they do not include costs assigned to another budget heading in the standard grant contract. The lead applicant may be asked to justify the percentage requested before the grant contract is signed. However, once the flat rate has been fixed in the special conditions of the grant contract, no supporting documents need to be provided.

If any of the applicants or affiliated entity(ies) is in receipt of an operating grant financed by the EU, it may not claim indirect costs on its incurred costs within the proposed budget for the action.

Contributions in kind

Contributions in kind mean the provision of goods or services to beneficiaries or affiliated entities free of charge by a third party. As contributions in kind do not involve any expenditure for beneficiaries or affiliated entities, they are normally not eligible costs.

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

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

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

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

Contributions in kind may not be treated as co-­financing. However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

Ineligible costs

The following costs are not eligible:

* debts and debt service charges (interest);
* provisions for losses or potential future liabilities;
* costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
* purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred in accordance with Article 7.5 of the general conditions of the standard grant contract, at the latest at the end of the action;
* currency exchange losses;
* credit to third parties;
* salary costs of the personnel of national administrations.

**Ethics clauses and Code of Conduct**

1. Absence of conflict of interest

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

1. Respect for human rights as well as environmental legislation and core labour standards

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

Zero tolerance for sexual exploitation and sexual abuse:

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

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

1. Anti-corruption and anti-bribery

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

1. Unusual commercial expenses

Applications will be rejected or contracts terminated if it emerges that the award or execution of a contract has given rise to unusual commercial expenses. Such unusual commercial expenses are commissions not mentioned in the main contract or not stemming from a properly concluded contract referring to the main contract, commissions not paid in return for any actual and legitimate service, commissions remitted to a tax haven, commissions paid to a payee who is not clearly identified or commissions paid to a company which has every appearance of being a front company.

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

e) Error, irregularities or fraud.

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

## **2.2. How to apply and the procedures to follow**

To apply for this call for proposals 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[[14]](#footnote-14)** for this call for proposals:

**Concept note step**: Registration is obligatory for lead applicants applying for EU contributions of more than EUR 60 000.

**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[[15]](#footnote-15) 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 to the use of these systems should be addressed to the IT helpdesk at [EuropeAid-IT-](mailto:EuropeAid-IT-support@ec.europa.eu) [support@ec.europa.eu](mailto:support@ec.europa.eu)**via the online support form in PROSPECT.**

### *2.2.1. Concept note content*

Applications must be submitted in accordance with the concept note instructions in the grant application form annexed to these guidelines (Annex A).

Applicants must apply in English.

Please note that:

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

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

2. The elements outlined in the concept note may not be modified in the full application. The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in Section 1.3. The lead applicant may replace a co-applicant or an affiliated entity only in duly justified cases (e.g. bankruptcy of initial co-­applicant or affiliated entity). In this case the new co-applicant/affiliated entity must be of a similar nature as the initial one. The lead applicant may adjust the duration of the action if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

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

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

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

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

Hand-written concept notes will not be accepted.

### *2.2.2 Where and how to send concept notes*

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.1section 2**). In particular, the lead applicant must send, in a sealed envelope as described below the following items:

1. 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. Two 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 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 ‘ከጨረታ ሰዓት በፊት እንዳይከፈት*’*.

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:**

Delegation of the European Union to Ethiopia

Finance, Contract and Audit Section

Cape-Verde Road

P.O. Box 5570, ADDIS ABABA

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

Delegation of the European Union to Ethiopia

Finance, Contract and Audit Section

Cape Verde Street (opposite Desalegn Hotel)

Cape-Verde Road  
P.O. Box 5570, ADDIS ABABA

Opening hours Monday to Friday 8:30 am – 12:30 pm and 1:30 pm – 4:30 pm

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 May 23, 2019 at 15:00hrs (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).**[[16]](#footnote-16)** 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 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 hours local time[[17]](#footnote-17)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*

A central information session on this call for proposals will be held on April 11, 2019 at 13:00 hours at Saphire Addis Hotel, Addis Ababa. In addition, the following Regional Information Sessions will be held:

a. April 12, 2019 - Bahir Dar and Mekelle

b. April 15, 2019 – Gambella and Assossa

c. April 17, 2019 – Hawassa and Dire Dawa

d. April 18, 2017 - Semera

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

E-mail addresses: DELEGATION-ETHIOPIA-CSFIII@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 website of DG International Cooperation and Development:

<https://webgate.ec.europa.eu/europeaid/online->[services/index.cfm?do=publi.welcome](https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome) and www.CSF3.org

as the need arises. It is therefore advisable to consult the above-mentioned websites 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](file:///C:\Users\andyn.MEPD-ACMS\Documents\ETHIOPIA\CfP\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 Part B of the grant application form annexed to these guidelines (Annex A). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note cannot be modified by the lead applicant in the full application 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). In such cases the duration must remain within the limits imposed by the guidelines for applicants. An explanation/justification of the relevant replacement/adjustment shall be included in an accompanying letter or email.

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

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

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

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

Hand-written applications will not be accepted.

Please note that only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators (and assessors, if used). It is therefore of utmost importance that these documents contain ALL the relevant information concerning the action.

**With the full application the lead applicant also has to submit completed organisation data forms (Annex F) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities**. [[18]](#footnote-18)

**No additional annexes should be sent.**

### *2.2.6. Where and how to send full applications*

Full application forms together with the budget, the logical framework and the declaration by the lead applicant must be submitted online via PROSPECT [https://webgate.ec.europa.eu/europeaid/prospect](%20https://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) Two 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.

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 hand­delivery (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:**

**Delegation of the European Union to Ethiopia**

**Finance, Contract and Audit Section**

**Cape-Verde Road  
P.O. Box 5570, ADDIS ABABA**

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

**Delegation of the European Union to Ethiopia**

**Finance, Contract and Audit Section**

**Cape-Verde Road (Opposite Desalegn Hotel)  
P.O. Box 5570, ADDIS ABABA**Opening hours Monday to Friday 8:30 am – 12:30 pm and 1:30 pm – 4:30 pm

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 ‘ከጨረታ ሰዓት በፊት እንዳይከፈት*’*

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

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

### *2.2.7. Deadline for submission of full applications*

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2.6) had to submit their application by post or hand-delivery, will receive the letter by email or by post if no e-mail address was provided.

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

In the case of submission by post (see section 2.2.6), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 16:30 hours local time[[19]](#footnote-19) as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may also reject any full application sent in due time but received after the effective date of approval of the full application evaluation (see indicative calendar under section 2.5. 2).

### *2.2.8. Further information about full applications*

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

E-mail addresses:

[DELEGATION-ETHIOPIA-CSFIII@eeas.europa.eu](file:///C:\Users\andyn.MEPD-ACMS\Downloads\DELEGATION-ETHIOPIA-CSFIII@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 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 website of DG International Cooperation and Development:

<https://webgate.ec.europa.eu/europeaid/online->[services/index.cfm?do=publi.welcome](https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome)

as the need arises. It is therefore advisable to consult the above-mentioned 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.

1. **STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION**

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

* If the deadline has been met. Otherwise, the application will be automatically rejected.
* If the concept note satisfies all the criteria specified in the checklist in Section 2 of Part A of the grant application form. This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The concept notes that pass this check will be evaluated on the relevance and design of the proposed action.

The concept notes will receive an overall score out of 50 using the breakdown in the evaluation grid below.

The evaluation will also check on compliance with the instructions on how to complete the concept note, which can be found in Part A of the grant application form.

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

**Evaluation Grid**

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

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

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.

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 30will be considered for pre-selection.

Secondly, the number of concept notes will be reduced, taking account of the ranking, to the number of concepts notes whose total aggregate amount of requested contributions is equal to at least 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, 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.

1. **STEP 2: EVALUATION OF THE FULL APPLICATION**

Firstly, the following will be assessed:

* If the submission deadline has been met. Otherwise, the application will automatically be rejected.
* If the full application satisfies all the criteria specified in the checklist (Section 7 of Part B of the grant application form). This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that sole basis and the application will not be evaluated further.

The full applications that pass this check will be further evaluated on their quality, including the proposed budget and capacity of the applicants and affiliated entity(ies). They will be evaluated using the evaluation criteria in the evaluation grid below. There are two types of evaluation criteria: selection and award criteria.

The selection criteriahelp to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify that they:

* have stable and sufficient sources of finance to maintain their activity throughout the proposed action and, where appropriate, to participate in its funding (this only applies to lead applicants);
* have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This applies to applicants and any affiliated entity(ies).

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

The award criteriahelp to evaluate the quality of the applications in relation to the objectives and priorities set forth in the guidelines, and to award grants to projects which maximise the overall effectiveness of the call for proposals. They help to select applications which the contracting authority can be confident will comply with its objectives and priorities. They cover the relevance of the action, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

Scoring:

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

**Evaluation grid**

|  |  |
| --- | --- |
| **Section** | **Maximum Score** |
| **1. Financial and operational capacity** | **20** |
| 1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house experience of project management? | 5 |
| 1.2 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house technical expertise? (especially knowledge of the issues to be addressed) | 5 |
| 1.3 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house management capacity? (Including staff, equipment and ability to handle the budget for the action)? | 5 |
| 1.4 Does the lead applicant have stable and sufficient sources of finance? | 5 |
| **2. Relevance** | **20** |
| *Score transferred from the Concept Note evaluation* |  |
| **3. Design of the action** | **15** |
| 3.1 How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)? | 5 |
| 3.2Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)? | 5 |
| 3.3 Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders? | 5 |
| **4. Implementation approach** | **15** |
| 4.1 Is the action plan for implementing the action clear and feasible? Is the timeline realistic? | 5 |
| 4.2 Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)? | 5 |
| 4.3 Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory? | 5 |
| **5. Sustainability of the action** | **15** |
| 5.1 Is the action likely to have a tangible impact on its target groups? | 5 |
| 5.2 Is the action likely to have multiplier effects, including scope for replication, extension, capitalisation on experience and knowledge sharing? | 5 |
| 5.3 Are the expected results of the proposed action sustainable? - Financially (e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs) - Institutionally (will structures allow the results of the action to be sustained at the end of the action? Will there be local ‘ownership’ of the results of the action?) - At policy level (where applicable) (what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods) - Environmentally (if applicable) (will the action have a negative/positive environmental impact?) | 5 |
| **6. Budget and cost-effectiveness of the action** | **15** |
| 6.1 Are the activities appropriately reflected in the budget? | 5 |
| 6.2 Is the ratio between the estimated costs and the results satisfactory? | 5\*2 |
| **Maximum total score** | **100** |

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

Provisional selection

After the evaluation, a table will be drawn up listing the applications ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached. In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

1. **STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANTS AND AFFILIATED ENTITY(IES)**

The eligibility verification will be performed on the basis of the supporting documents requested by the contracting authority (see Section 2.4). It will by default only be performed for the applications that have been provisionally selected according to their score and within the available budget for this call for proposals.

* The declaration by the lead applicant (Section 8 of Part B of the grant application form) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
* The eligibility of applicants and the affiliated entity(ies) will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

Any rejected application will be replaced by the next best placed application on the reserve list that falls within the available budget for this call for proposals.

## **2.4. Submission of supporting documents for provisionally selected applications**

A lead applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the contracting authority. It will be requested to supply the following documents in order to allow the contracting authority to verify the eligibility of the lead applicant, (if any) of the co-­applicants, and (if any) of their affiliated entity(ies).[[20]](#footnote-20)

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity[[21]](#footnote-21). 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.[[22]](#footnote-22) This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.

2. For action grants exceeding EUR 750 000 and for operating grants above EUR 100 000, the lead applicant must provide an audit report produced by an approved external auditor where it is available, and always in cases where a statutory audit is required by EU or national law. That report shall certify the accounts for up to the last 3 financial years available. In all other cases, the applicant shall provide a self-declaration signed by its authorised representative certifying the validity of its accounts for up to the last 3 financial years available.

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

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

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

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

4. A copy of the lead applicant’s latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)[[23]](#footnote-23).

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

5. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the contracting authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.

6. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

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

Where such documents are not in one of the official languages of the European Union or Amharic, 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 applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into English.

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

If the above-mentioned 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 |
|  |  |  |
| 1. Information meeting (if any) | April 11,2019 | from 13:00 hours |
| 2. Deadline for requesting any clarifications from the contracting authority | May 2,2019 | 15:00 hours |
| 3. Last date on which clarifications are issued by the contracting authority | May 12,2019 | - |
| 4. Deadline for submission of [restricted procedures: concept notes] [open procedures: applications] | May 23,2019 | 15:00 hours |
| 5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1) | July 2,2019 | - |
| 6. Invitations to submit full applications | July 4,2019 | - |
| 7. Deadline for submission of full applications | August 23,2019 | - |
| 8. Information to lead applicants on the evaluation of the full applications (Step 2) | October 3,2019 | - |
| 9. Notification of award (after the eligibility check) (Step 3) | October 18,2019 | - |
| 10. Contract signature | December 31,2019 | - |

All times are in the time zone of the country of the contracting authority.

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

## **2.6. Conditions for implementation after the contracting authority’s decision to** AWARD A GRANT

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

Implementation contracts

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.

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

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

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

# 3. LIST OF ANNEXES

**NOTE THAT ALL ANNEXES MUST BE ADAPTED AS FORESEEN TO THE CALL AND PUBLISHED TOGETHER WITH THE GUIDELINES**

**Documents to be completed**

Annex A: Grant application form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical framework (Excel format)

Annex D: Legal entity sheet[[24]](#footnote-24)

Annex E: Financial identification form

Annex F: EuropeAid offline registration form (ONLY IF IMPOSSIBLE TO REGISTER IN PADOR)

**DOCUMENTS FOR INFORMATION[[25]](#footnote-25)**

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-](http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en)

[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.

**Useful links:**

**Project Cycle Management Guidelines**

[http://ec.europa.eu/europeaid/aid-deliverv-methods-proiect-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&locale=en>

**Financial Toolkit**

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

[toolkit en](http://ec.europa.eu/europeaid/funding/procedures-beneficiary-countries-and-partners/financial-management-toolkit_en)

Please note: The toolkit is not part of the grant contract and has no legal value. It merely provides general guidance and may in some details differ from the signed grant contract. In order to ensure compliance with their contractual obligations beneficiaries should not exclusively rely on the toolkit but always consult their individual contract documents.

1. Any reference to European Union financing also refers to European Development Fund grants where applicable. [↑](#footnote-ref-1)
2. Online submission via PROSPECT is mandatory for this call for proposals (see Section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except for public holidays). Applicants should take note of the weekly maintenance hours mentioned in the PROSPECT user manual. [↑](#footnote-ref-2)
3. An example of a time converter tool available online:<http://www.timeanddate.com/worldclock/converter.html> [↑](#footnote-ref-3)
4. If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu [↑](#footnote-ref-4)
5. Phase III of the Civil Society Fund (CSF III) is financed under the 11th European Development Fund. [↑](#footnote-ref-5)
6. Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing. [↑](#footnote-ref-6)
7. Note that a lead applicant (i.e. a coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a contribution agreement based on the contribution agreement template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the contribution agreement template. [↑](#footnote-ref-7)
8. 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. [↑](#footnote-ref-8)
9. For instance, Article 9(1)(f) of Regulation (EU) No 236/2014 provides for eligibility of member countries of the OECD, in the case of contracts implemented in a Least Developed Country or a Highly Indebted Poor Country, as included in the list of ODA recipients. [↑](#footnote-ref-9)
10. The updated lists of sanctions are available at [www. sanctionsmap.eu.](http://www.sanctionsmap.eu/)

    Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails. [↑](#footnote-ref-10)
11. These third parties are neither affiliated entity(ies) nor associates nor contractors. [↑](#footnote-ref-11)
12. As per OECD DAC definition, the term ‘results’ includes: ‘impact’ (overall objective), ‘outcome(s)’ (specific objective(s) and ‘output(s)’. [↑](#footnote-ref-12)
13. 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. [↑](#footnote-ref-13)
14. Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to register in PADOR. In this case, the information included in PROSPECT and the grant application form is sufficient. [↑](#footnote-ref-14)
15. Which corresponds to sections 3 and 4 of the full application form – Annex A.2. [↑](#footnote-ref-15)
16. For example: http://www.timeanddate.com/worldclock/converter.html. [↑](#footnote-ref-16)
17. Please use an online time converter tool, such as the one presented in the footnote above.

    All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu via the online support form in PROSPECT: Please note that the working languages of the IT support are: English French and Spanish. Therefore, users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time. [↑](#footnote-ref-17)
18. Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to provide an organisation data form. In this case, the information included in the grant application form is sufficient. [↑](#footnote-ref-18)
19. Please use an online time converter tool, such as <http://www.timeanddate.com/worldclock/converter.html>. [↑](#footnote-ref-19)
20. No supporting document will be requested for applications for a grant not exceeding EUR 60 000. [↑](#footnote-ref-20)
21. 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. [↑](#footnote-ref-21)
22. To be inserted only where the eligibility conditions have not changed from one call for proposals to the other. [↑](#footnote-ref-22)
23. 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. [↑](#footnote-ref-23)
24. Only applicable where the European Commission will make the payments under the contracts to be signed. [↑](#footnote-ref-24)
25. These documents should also be published by the contracting authority. [↑](#footnote-ref-25)