



**Contracting authority:** Ministry of Finance  
Government of the Independent State of Samoa

11<sup>th</sup> European Development Fund  
Civil Society Support Programme II

Guidelines  
for grant applicants

## **RESTRICTED CALL FOR PROPOSALS 2019**

Reference: EuropeAid/166385/IH/ACT/WS

**Deadline for submission of concept note: 08 November 2019 at 17.00hrs  
Samoa time**

**Deadline for submission of full application:** The deadline for the submission of full applications will be indicated in the letter sent to the lead applicant whose application has been pre-selected.

## **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 pre-selected will be invited to submit a full application. After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the contracting authority and the signed 'declaration by the lead applicant' sent together with the full application.

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# 1. SUPPORT TO CIVIL SOCIETY ORGANISATIONS

## 1.1. BACKGROUND

In November 2016, the European Commission (EC) reiterated its commitment to supporting Civil Society Organisations (CSOs) in its new 'European Consensus on Development'<sup>1</sup>. Article 71 of the Consensus calls the EU and its Member States to deepen their partnership with CSOs. The article stresses the importance of promoting operating space and enabling environments for CSOs to play their full role as advocates and implementers. The EU's support to CSOs is in line with the Sustainable Development Goals (SDGs) adopted as part of the 2030 Agenda for Sustainable Development<sup>2</sup>. In order to implement the SDGs, efficient governance mechanisms have to be put in place at global, regional, national and local level. These must be based on a participatory approach, building upon the principles of transparency, accountability and empowering citizens, local communities, businesses, NGOs and other civil society players to take an active role at all policy levels.

In the context of Samoa, CSOs are defined and perceived as non-state and non-market organisations outside of the family institution in which people assemble and organize themselves, to pursue shared interests in the public domain for economic cooperation and social development. These include Community Based Organisations (CBOs), Non-Governmental Organisations (NGOs), and Faith Based Organisations (FBOs). CSOs also includes Village Associations, Environmental Groups, Women's rights groups, Farmers Associations, Labour Unions, Cooperatives, Professional Associations, Chamber of Commerce, Independent Research Institutes, and the Not-for-Profit Media<sup>3</sup> Furthermore, CSOs such as CBOs and FBOs are now formally structured and does not have any legal status, whereas NGOs are required by law to be registered through the Ministry of Commerce, Industry, and Labour (MCIL), either as an Incorporated Society or as a Charitable Trust.

The CSSP is a funding mechanism ("one-stop office"<sup>4</sup>) that the Government of Samoa and development partners use to channel CSO requests for specific types of assistance that are unattended by existing GoS Ministry resources, as regulated by policy regulations on budgetary allocations. In the beginning, the CSSP was introduced primarily as a mechanism to channel grants from the European Union (EU), the Australian Department of Foreign Affairs and Trade (DFAT) and the New Zealand Ministry of Foreign Affairs and Trade (MFAT)<sup>5</sup>. However, it became a joint venture only between Government of Samoa, EU and DFAT after policy changes by the Ministry of Foreign Affairs and Trade (NZ) in 2011<sup>6</sup>. The CSSP Programme Management Unit (PMU), under the guidance of the CSSP Steering Committee (SC), is responsible for managing the CSO grants mechanism and overall administration and contracting of CSO activities such capacity building and training which currently is largely delivered by SUNGO (Samoa Umbrella of Non-Governmental Organisations).

The civil society organisations in Samoa benefitted from a similar approach under the 10<sup>th</sup> EDF Civil Society Support Programme Phase I. The CSSP Phase I (2010-2015) had an overall purpose of delivering tangible benefits to vulnerable people with a focus on grants allocation to community groups and CSOs for programs and activities ranging from the educational, water and socio-economic developing sectors. The EU's Final Evaluation concluded that the CSSP Phase I achieved high effectiveness in delivering support to communities and strengthening the capacity of CSOs in Samoa.

The 11<sup>th</sup> EDF Civil Society Support Programme Phase II builds on the successful 10<sup>th</sup> EDF CSSP Phase I initiatives and aims at improving capacity building initiatives and gender equality through the award of

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<sup>1</sup><http://ec.europa.eu/europeaid/sites/devco/files/communication-proposal-new-consensus-development20161122>

<sup>2</sup>[http://www.eesc.europa.eu/resources/docs/making-civil-society-a-driving-force-in-the-implementation-of-the-un-2030-agenda-for-sustainable-development-pp\\_en.pdf](http://www.eesc.europa.eu/resources/docs/making-civil-society-a-driving-force-in-the-implementation-of-the-un-2030-agenda-for-sustainable-development-pp_en.pdf)

<sup>3</sup> CSSP Policy 2 – CSSP Strategic Policy Directions

<sup>4</sup> Cretney J et al. "A Feasibility Study to Develop a Civil Society Support Project in Samoa", an initiative to develop the rationale and structure of the CSSP. Aus-AID financed the design effort in 2009.

<sup>5</sup> CSSP 2016, Design Document, Civil Society Support Programme Phase II (2016-2020) Samoa

<sup>6</sup> Gillespie J. J. 2013, Mid-Term Evaluation of the Civil Society Support Programme in Samoa

grants to CSOs after the 'call for proposal'. The overall objective of the support is to contribute to the implementation of the Strategy for the Development of Samoa (SDS) 2016-2020 in an inclusive manner with a particular focus on improving Civil Society's effective engagement with the Government of Samoa.

## **LOT 1: CAPACITY BUILDING**

Civil Society in Samoa covers broad areas of activities and generally has a satisfactory level of capability for service delivery. It is reasonably well-organised with most CSOs being members of SUNGO (umbrella body) and thematic networks. SUNGO and the thematic networks recognize the importance of engaging constructively with the Government of Samoa and decision-makers to better integrate Civil Society priorities into the national and sector development plans. However, most of the CSOs lack the resources to effectively engage with the Government of Samoa and contribute to the Strategy for the Development for Samoa (SDS). Although the Government is open to further engagement, Civil Society is lacking experience and know-how, having essentially been focused on its mandate as a service delivery actor until now.

The CSSP Phase I programme demonstrated that it was a highly effective tool in providing support to CSOs and communities. It has promoted an increase in the CSOs' capacity to manage resources, implement projects and provide services, thus opening the door to a constructive engagement between CSOs and the Government of Samoa. CSSP II and through Lot 1 will build upon these results to strengthen individual CSOs and thematic networks in order to promote and empower social accountability of CSOs in collective advocacy, strategic planning, implementation and oversight.

Lot 1 will therefore focus on strengthening individual CSO's capacity, particularly in terms of participation in government sectoral programs and public policy making, monitoring and evaluation of public service delivery, Government-CSOs engagement, access to information, and improve knowledge and use of conventional mechanisms of accountability. It will also allow the supporting of specific thematic advocacy and policy engagement oriented activities.

## **LOT 2: GENDER EQUALITY**

Addressing high levels of domestic violence in the context of Samoa's society will only be successful through a fundamental change in attitude, systematic sensitisation of men and women as well as empowering victims to better understand their legal rights in the context of the Family Safety Act. The 2015 Ombudsman State of Human Rights report and Samoa's second Universal Periodic Review (UPR) National Human Rights Institution (NHRI) submission provide widely accepted recommendations for specific actions to be undertaken by CSOs that will constitute the framework for interventions to be supported under the CSSP.

Lot 2 will therefore seek to address the relevant UPR's recommendations through support to CSOs working with communities, village councils, government institutions and the National Human Rights Institution (NHRI) in order to challenge gender stereotyping, increase public awareness of existing legal rights, as well as protection offered to victims. By challenging gender stereotyping as well as informing victims of violence of their legal rights (and the potential perpetrators the consequences of their actions under this act), will lead to greater empowerment and protection of women.

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

The **global objective** of this call for proposal is to address the limited capacities and strengthen CSOs capacity to effectively engage with the Government of Samoa in policy dialogue, governance and social accountability.

The **specific objective** of this call for proposal is to enhance and strengthen CSO engagement with the Government of Samoa in the development and implementation of the National Development Strategy of Samoa.

The priority(ies) of this call for proposals are:

### **Lot 1: Capacity Building**

*All proposals must clearly identify at least one of the priority activities in order to be eligible for funding.*

- a) Research based advocacy, data collection and analysis; organisational learning and training; mentoring and knowledge sharing with stakeholders
- b) Contribution, engagement and participating on the process of national policy planning, policy making and development, policy process, policy analysis and monitoring and oversight mechanisms.
- c) Engagement with Government, local authorities, stakeholders and national agencies on thematic advocacy such as climate change, health, sectorial strategies (although not exclusively aligned to the Samoa Development Strategy / Samoa 2040)
- d) Actions promoting engagement with current/emerging issues of national importance & being able to strategically interact with government, local authorities and key stakeholders on governance & public policy processes.

### **Lot 2: Gender Equality**

*All proposals must clearly identify at least one of the priority activities in order to be eligible for funding.*

- a) Activities increasing public awareness on the Family Safety Act, Family Court Bill, legal rights and protection provisions offered to victims under the Family Act and Family Court Bill.
- b) Educating communities, villages, village councils, and government institutions on activities challenging gender stereotyping, domestic or gender based violence
- c) Awareness raising and educational activities that aim to ‘change’ attitudes and mindsets which result in the stereotyping of the role of women, the behaviours that legitimise violence against women, and the culture of silence and impunity in Samoan society.
- d) Economic empowerment activities and actions promoting the rights of women and girls to address gender based violence in families, communities and the general public.

*It is expected that activities undertaken from Lot 2 will make use of a wide range of media tools (TV advertisements, drama shows, etc) as well as discussion groups at the village level involving not only women's groups but also village Councils.*

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

The overall indicative amount made available under this call for proposals is 2,464,000.00 TALA. The Contracting Authority reserves the right not to award all available funds.

**Lot 1: TALA 1,232,000.00**

**Lot 2: TALA 1,232,000.00**

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

## **Size of grants**

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

### **Lot 1: Capacity Building**

- minimum amount: 308 000 TALA
- maximum amount: 616 000 TALA

### **Lot 2: Gender Equality**

- minimum amount: 154 000 TALA
- maximum amount: 308 000 TALA

## **For both Lots:**

*Any grant requested under this call for proposals must fall between the following minimum and maximum percentages of total eligible costs of the action (see also Section 2.1.5).*

- *Minimum percentage: 50% of the total eligible costs of the action*
- *Maximum percentage: 95% of the total eligible costs of the action*

The balance (i.e. the difference between the total cost of the action and the amount requested from the contracting authority) must be financed from sources other than the general budget of the Union or the European Development Fund<sup>7</sup>.

## **2. RULES FOR THIS CALL FOR PROPOSALS**

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).<sup>8</sup>

### **2.1. ELIGIBILITY CRITERIA**

There are three sets of eligibility criteria, relating to:

(1) the actors:

- The **'lead applicant'**, i.e. the entity submitting the application form (2.1.1),
- if any, its **co-applicant(s) (where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as 'applicant(s)')** (2.1.1),
- and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s). (2.1.2);

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<sup>7</sup> Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

<sup>8</sup> 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.

(2) the actions:

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

(3) the costs:

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

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

#### **Lead applicant**

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

- be a legal entity;
- be non-profit-making<sup>9</sup>;
- be a specific type of organisation such as: non-governmental organisation, public sector operator, local authority, international (inter-governmental) organisation as defined by Article 156 of the EU Financial Regulation<sup>10</sup>
- be established in Samoa or, in the case of a Co-applicant, in one of the countries listed in Appendix 1. **Please note that the lead applicant in all cases must be legally established in Samoa.**
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies);

(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 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

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<sup>9</sup> Non-profit organisation is an organization whose purpose is something other than making a profit such as charitable or social causes. A non-profit organization uses its surplus revenues to further achieve its purpose or mission, rather than distributing its surplus income to the organization's shareholders (or equivalents) as profit or dividends.

<sup>10</sup> International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.



contracting authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinate the design and implementation of the action.

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

Co-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.

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

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

- (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<sup>11</sup>.

### **2.1.2. Affiliated entities**

#### **Affiliated entity(ies)**

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

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

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

This structural link encompasses mainly two notions:

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

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

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<sup>11</sup> 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.

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 entities are neither applicants nor affiliated entities and do not have to sign the 'mandate for co-applicant(s)' or 'affiliated entities' statement':

- Associates

Other organisations or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates

do not have to meet the eligibility criteria referred to in Section 2.1.1. Associates must be mentioned in 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 12 months nor exceed 24 months.

**Sectors or themes**

As defined in section 1.2 above.

**Location**

Actions must take place in **SAMOA**

**Types of action:**

<b>Lot 1 Capacity Building</b>	<b>Lot 2 Gender Equality</b>
<p>a) Research based advocacy, data collection and analysis; organisational learning and training; mentoring and knowledge sharing with stakeholders</p> <p>b) Contribution, engagement and participating on the process of national policy planning, policy making and development, policy process, policy analysis and monitoring and oversight mechanisms.</p> <p>c) Engagement with Government, local authorities, stakeholders and national agencies on thematic advocacy such as climate change, health, sectorial strategies (although not exclusively aligned to the Samoa Development Strategy / Samoa 2040)</p> <p>d) Actions promoting engagement with current/emerging issues of national importance &amp; being able to strategically interact with government, local authorities and key stakeholders on governance &amp; public policy processes.</p>	<p>a) Activities increasing public awareness on the Family Safety Act, Family Court Bill, legal rights and protection provisions offered to victims under the Family Act and Family Court Bill.</p> <p>b) Educating communities, villages, village councils, and government institutions on activities challenging gender stereotyping, domestic or gender based violence</p> <p>c) Awareness raising and educational activities that aim to ‘change’ attitudes and mind sets which result in the stereotyping of the role of women, the behaviours that legitimise violence against women, and the culture of silence and impunity in Samoan society.</p> <p>d) Economic empowerment activities and actions promoting the rights of women and girls to address gender based violence in families, communities and the general public.</p>

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- actions which discriminate against individuals or vulnerable groups of people based on gender, sexual orientation, religion, age and disability needs;
- actions supporting political parties;
- actions not aligned to the priority activities in section 1.2
- retroactive financing for projects already in existence (SUNGO) or completed
- reconstruction activities
- core funding of the applicant or its partners
- actions which have negative impacts on the environment; and
- actions which support religious proselytizing.

### **Types of activity**

As discussed in section 1.2 above

### **Visibility**

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

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

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

The lead applicant may not submit more than 1 application(s) per lot under this call for proposals.

The lead applicant may not be awarded more than 1 grant(s) per lot under this call for proposals.

The lead applicant may not be a co-applicant or an affiliated entity in another application of the same lot at the same time.

A co-applicant/affiliated entity may not be the co-applicant or affiliated entity in more than 1 application(s) per lot under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than 1 grant(s) per lot 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:
  - (i) either the fulfilment of conditions set out in sector specific legislation or Commission Decisions;or
  - (ii) 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);

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**.

### **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**).

The applicants (and where applicable their affiliated entities) agree that the expenditure verification(s) referred to in Article 15.7 of the general conditions to the standard grant contract (**see Annex G of the guidelines**) will be carried out by the contracting authority (Ph: +685-34333 OR +685-34305), or any external body authorised by the European Commission.

Salary costs of the personnel of national administrations may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action were not undertaken.

### **Contingency reserve**

The budget may include a contingency reserve not exceeding 5% of the estimated direct eligible costs. It can only be used with the **prior written authorisation** of the contracting authority.

### **Eligible indirect costs**

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

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

### **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;
- cost that occurred outside of the scope of the signed contract and approved budget
- salary costs of the personnel of national administrations

## **Ethics clauses and Code of Conduct**

### a) 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.

### b) 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.

### c) 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.

### d) 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) Breach of obligations, 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 breach of obligations, irregularities or fraud. If breach of obligations, 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**

Information in PADOR will not be drawn upon in the present call.

### **Restricted call for proposals**

<b>2.2.1. Concept note content</b>
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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 its relating checklist<sup>12</sup> and declaration by the lead applicant (to be found in Part A section 2 & 3 of the grant application form) must be submitted in one (1) original copy and one copy in A4 size, each bound.

An electronic version of the concept note must also be submitted (Flash drive/USB stick<sup>13</sup>) with the concept note in electronic format will be included, along with the paper version, in a sealed envelope as described below. The electronic file must contain **exactly the same** application as the paper version enclosed.

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

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’**.

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

#### **Postal address**

To the Attention of the National Authorising Officer  
c/-EU Project Officer  
Call for proposal - 11<sup>th</sup> EDF Civil Society Support Programme II  
Lot No -  
Civil Society Support Programme Office  
PO BOX 2009  
Ground Floor SNPF Building, Matafele  
APIA  
SAMOA

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

To the Attention of the National Authorising Officer  
c/-EU Project Officer  
Call for proposal - 11<sup>th</sup> EDF Civil Society Support Programme II  
Lot No -  
Civil Society Support Programme Office  
Ground Floor SNPF Building, Matafele  
APIA  
SAMOA

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

**Lead applicants must verify that their concept note is complete using the checklist for concept note. Incomplete concept notes may be rejected.**

### **2.2.3. Deadline for submission of concept notes**

The applicants' attention is drawn to the fact that there are two different systems for sending concept notes: one is by post or private courier service, the other is by hand delivery.

<sup>12</sup> Please note that the concept note / full application should not be rejected only because the lead applicant did not submit the checklist or the information in the checklist is not correct.

<sup>13</sup> If you want to allow for other devices (e.g. USB sticks) make sure that appropriate IT security measures are in place.



In the first case, the concept note must be sent before the date for submission, as evidenced by the postmark or deposit slip<sup>14</sup>, but in the second case it is the acknowledgment of receipt given at the time of the delivery of the concept note which will serve as proof.

The deadline for the submission of concept notes is **08 November 2019** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is on **08 November 2019, at 05:00pm**, as evidenced by the signed and dated receipt. Any concept note submitted after the deadline will be rejected.

The contracting authority may, for reasons of administrative efficiency, reject any concept note submitted on time to the postal service but received, for any reason beyond the contracting authority's control, after the effective date of approval of the concept note evaluation, if accepting concept notes that were submitted on time but arrived late would considerably delay the evaluation procedure) or jeopardise decisions already taken and notified (see indicative calendar under Section 2.5.2)

#### **2.2.4. Further information about concept notes**

An information session on this call for proposals will be held on **08 October 2019, at 10:00am at the CSSP Office<sup>15</sup>**.

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

E-mail address: [cssp.office@cssp.gov.ws](mailto:cssp.office@cssp.gov.ws)

Fax: +685 – 27667

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> and [www.cssp.gov.ws](http://www.cssp.gov.ws), as the need arises. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

#### **2.2.5. Full applications**

Lead applicants invited to submit a full applications 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. 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-

<sup>14</sup> It is recommended to use registered mail in case the postmark would not be readable.

<sup>15</sup> Venue of the Information Session may change and would be advised through a media publication.

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.

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, etc) 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.

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

Full applications (i.e. the full application form, the budget, the logical framework and the declaration by the lead applicant) must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) to the address below:

#### **Postal address**

To the Attention of the National Authorising Officer  
c/-EU Project Officer  
Call for proposal - 11<sup>th</sup> EDF Civil Society Support Programme II  
Lot No -  
Civil Society Support Programme Office  
PO BOX 2009  
Ground Floor NPF Building, Matafele  
APIA  
SAMOA

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

To the Attention of the National Authorising Officer  
c/-EU Project Officer  
Call for proposal - 11<sup>th</sup> EDF Civil Society Support Programme II  
Lot No -  
Civil Society Support Programme Office  
Ground Floor NPF Building, Matafele  
APIA, SAMOA

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

Applications must be submitted in one original and two copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom or Flash drive/USB

stick<sup>16</sup>) in a separate and single file (i.e. the full application must not be split into several different files). The electronic file must contain **exactly the same** application as the paper version.

The checklist (Section 7 of Part B of the grant application form) and the declaration by the lead applicant (Section 8 of Part B of the grant application form) must be stapled separately and enclosed in the envelope

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

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’**.

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

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

The applicants' attention is drawn to the fact that there are two different systems for sending full applications: one is by post or private courier service, the other is by hand delivery.

In the first case, the full application must be sent before the date for submission, as evidenced by the postmark or deposit slip, but in the second case it is the acknowledgment of receipt given at the time of the delivery of the full application which will serve as proof.

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.

The contracting authority may, for reasons of administrative efficiency, reject any application submitted on time to the postal service but received, for any reason beyond the contracting authority's control, after the effective date of approval of the full application evaluation, if accepting applications that were submitted on time but arrived late would considerably delay the award procedure or jeopardise decisions already taken and notified (see indicative calendar under Section 2.5.2).

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

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

E-mail address: [cssp.office@cssp.gov.ws](mailto:cssp.office@cssp.gov.ws)

Fax: +685 – 27667

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 full 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> and [www.cssp.gov.ws](http://www.cssp.gov.ws), as the need arises. It is therefore advisable to

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<sup>16</sup> If you want to allow for other devices (e.g. USB sticks) make sure that appropriate IT security measures are in place.

consult the abovementioned website regularly in order to be informed of the questions and answers published.

### 2.3. EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the contracting authority with the possible assistance of external assessors. All applications will be assessed according to the following steps and criteria.

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

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

During the opening 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 maybe 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.

**Scores\***

<b>1. Relevance of the action</b>	Sub-score	<b>20</b>
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)? <i>[and the other additional elements indicated under 1.2. of the guidelines for applicants]</i>	5	
<b>2. Design of the action</b>	Sub-score	<b>30</b>
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?	5x2**	
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	
<b>TOTAL SCORE</b>		<b>50</b>

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

\*\*this score is multiplied by 2 because of its importance

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

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

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

After the evaluation of concept notes, the contracting authority will send letters to all lead applicants, indicating whether their application was submitted by the deadline, informing them of the reference number they have been allocated, whether the concept note was evaluated and the results of that evaluation.

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

## STEP 2: OPENING & ADMINISTRATIVE CHECKS AND 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 criteria** help to evaluate the applicant(s)'s and affiliated entity(ies)'s operational capacity and the lead applicant's financial capacity and are used to verify that they:

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

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

*Scoring:*

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

### Evaluation grid

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1 Do the applicants and, if applicable, their affiliated entity(ies) have sufficient 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

<b>Section</b>	<b>Maximum Score</b>
<b>2. Relevance</b>	<b>20</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Design of the action</b>	<b>15</b>
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
3.2 Does 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
<b>4. Implementation approach</b>	<b>15</b>
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
<b>5. Sustainability of the action</b>	<b>15</b>
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?:  <ul style="list-style-type: none"> <li>- Financially (<i>e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs</i>)</li> <li>- Institutionally (<i>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?</i>)</li> <li>- At policy level (where applicable) (<i>what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods</i>)</li> <li>- Environmentally (if applicable) (<i>will the action have a negative/positive environmental</i></li> </ul>	5

<b>Section</b>	<b>Maximum Score</b>
<i>impact?)</i>	
<b>6. Budget and cost-effectiveness of the action</b>	<b>15</b>
6.1 Are the activities appropriately reflected in the budget?	/ 5
6.2 Is the ratio between the estimated costs and the results satisfactory?	/ 10
<b>Maximum total score</b>	<b>100</b>

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

If the lead applicant applies without co-applicants or affiliated entities the score for point 4.3 shall be 5 unless the involvement of co-applicants or affiliated entities is mandatory according to these guidelines for applicants.

#### *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.

### **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, of the co-applicant(s) (if any) and of their affiliated entity(ies)<sup>17</sup>:

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity<sup>18</sup>. Where the contracting authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the special conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>19</sup>. 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)<sup>20</sup>. 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

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<sup>17</sup> No supporting document will be requested for applications for a grant not exceeding EUR 60 000.

<sup>18</sup> 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.

<sup>19</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

<sup>20</sup> 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.

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.

Where entities without legal personality are eligible as per Section 2.1.1:

7. Entities without legal personality must, to the extent possible, submit the documentation listed above. In addition, a letter must be provided by the legal representative certifying his/her capacity to undertake legal obligations on behalf of the entity.
8. The lead applicant as well as all co-applicants and affiliated entities shall fill in and sign the declaration on honour certifying that they are not in one of the exclusion situations (see Section 2.6.10.1 of the PRAG).

Documents must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals.

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

After verifying the supporting documents, the evaluation committee will make a final recommendation to the contracting authority, which will decide on the award of grants.

NB : In the eventuality that the contracting authority is not satisfied with the strength, solidity, and guarantee offered by the structural link between one of the applicants and its affiliated entity, it can require the submission of the missing documents allowing for its conversion into co-applicant. If all the missing documents for co-applicants are submitted, and provided all necessary eligibility criteria are fulfilled, the above mentioned entity becomes a co-applicant for all purposes. The lead applicant has to submit the application form revised accordingly.

## **2.5. NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION**

### ***2.5.1. Content of the decision***

The lead applicants will be informed in writing of the contracting authority's decision concerning their application and, if rejected, the reasons for the negative decision.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.4.15 of the practical guide.

Applicants and, if they are legal entities, persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations of early detection or exclusion, their personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the 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.

For more information, you may consult the privacy statement available on [http://ec.europa.eu/budget/explained/management/protecting/protect\\_en.cfm](http://ec.europa.eu/budget/explained/management/protecting/protect_en.cfm)

**2.5.2. Indicative timetable**

	<b>DATE</b>	<b>TIME</b>
<b>Publication of Call for Proposal guideline</b>	Tuesday 24 September 2019	
<b>1. Information Session/Meeting</b>	Tuesday 8 October 2019	10am
<b>2.. Deadline for requesting any clarifications from the contracting authority</b>	Friday 18 October 2019	
<b>3. Last date on which clarifications are issued by the contracting authority</b>	Monday 28 October 2019	
<b>4. Deadline for submission of concept notes</b>	Friday 8 November 2019	5pm
<b>5. Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1) and invitation to submit full application</b>	Tuesday 26 November 2019	
<b>6. Deadline for submission of full applications (45 days submission period)</b>	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.	-
<b>7. Information to lead applicants on the evaluation of the full applications (Step 2)</b>	January 2020 (Tentative)	-
<b>8. Notification of award (after the eligibility check) (Step 3)</b>	February 2020 (Tentative)	-
<b>9. Contract signature</b>	March 2020 (Tentative)	-

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> and [www.cssp.gov.ws](http://www.cssp.gov.ws)

## **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**

### **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<sup>21</sup>
- Annex E: Financial identification form

### **DOCUMENTS FOR INFORMATION<sup>22</sup>**

- Annex G: Standard grant contract
  - Annex II: general conditions
  - Annex IV: contract award rules
  - Annex V: standard request for payment

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<sup>21</sup> Only applicable where the European Commission will make the payments under the contracts to be signed.

<sup>22</sup> These documents should also be published by the contracting authority.

- 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 N/A
- Annex IX: standard template for transfer of ownership of assets

Annex H: Declaration on Honour

Annex I: Daily allowance rates (per diem), available at the following address:  
[http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems\\_en](http://ec.europa.eu/europeaid/funding/about-procurement-contracts/procedures-and-practical-guide-prag/diems_en)

Annex J: Information on the tax regime applicable to grant contracts signed under the call.

#### **Useful links:**

##### **Project Cycle Management Guidelines**

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

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## **Appendix 1: List of eligible countries**

Participation in procedures for the award of grants financed from the multi-annual financial framework of cooperation under the ACP-EC Partnership Agreement is open to all natural persons who are nationals of, or legal persons who are effectively established in:

### **EU MEMBER STATES:**

Austria, Belgium, Bulgaria, Czech Republic, Croatia, Cyprus, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden, United Kingdom.

### **IPA II beneficiaries**

Albania, Bosnia and Herzegovina, Kosovo<sup>23</sup>, Montenegro, Serbia, Turkey, Republic of North Macedonia.

### **European Economic Area**

Iceland, Lichtenstein, Norway.

### **Least Developed Countries**

Afghanistan, Angola, Bangladesh, Benin, Bhutan, Burkina Faso, Burundi, Cambodia, Central African Republic, Chad, Comoros, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, Gambia, Guinea, Guinea-Bissau, Haiti, Kiribati, Lao People's Democratic Republic, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritania, Mozambique, Myanmar, Nepal, Niger, Rwanda, Sao Tome & Principe, Senegal, Sierra Leone, Solomon Islands, Somalia, Sudan, South Sudan, Tanzania, Timor-Leste, Togo, Tuvalu, Uganda, Vanuatu, Yemen, Zambia.

### **Other Low Income Countries:**

Democratic People's Republic of Korea, Zimbabwe.

### **Lower Middle Income Countries and Territories:**

Armenia, Bolivia, Cabo Verde, Cameroon, Congo, Côte d'Ivoire, Egypt, El Salvador, Georgia, Ghana, Guatemala, Honduras, India, Indonesia, Jordan, Kenya, Kosovo, Kyrgyzstan, Micronesia, Moldova, Mongolia, Morocco, Nicaragua, Nigeria, Pakistan, Papua New Guinea, Philippines, Sri Lanka, Swaziland, Syrian Arab Republic, Tajikistan, Tunisia, Ukraine, Uzbekistan, Vietnam, West Bank and Gaza Strip.

### **Upper Middle Income Countries and Territories:**

Albania, Algeria, Antigua and Barbuda, Argentina, Azerbaijan, Belarus, Belize, Bosnia and Herzegovina, Botswana, Brazil, China (People's Republic of), Colombia, Cook Islands, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, Equatorial Guinea, Fiji, Republic of North Macedonia, Gabon, Grenada, Guyana, Iran, Iraq, Jamaica, Kazakhstan, Lebanon, Libya, Malaysia, Maldives, Marshall Islands, Mauritius, Mexico, Montenegro, Montserrat, Namibia, Nauru, Niue, Palau, Panama, Paraguay, Peru, Saint Helena, Saint Lucia, Saint Vincent & the Grenadines, Samoa, Serbia, South-Africa, Suriname, Thailand, Tonga, Turkey, Turkmenistan, Venezuela, Wallis and Futuna.

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<sup>23</sup> This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

## **OVERSEAS COUNTRIES AND TERRITORIES:**

Anguilla (UK), Aruba (NL), Bermuda (UK), British Indian Ocean Territory (UK), British Virgin Islands (UK), Cayman Islands (UK), Curaçao (NL), Falkland Islands (UK), French Polynesia (FR), French Southern and Antarctic Territories (FR), Greenland (DK), Montserrat (UK), New Caledonia and Dependencies (FR), Pitcairn (UK), Saba (NL), Saint Barthelemy (FR), Saint Helena Ascension Island Tristan da Cunha (UK), Sint Eustatius (NL), Sint Maarten (NL), South Georgia and South Sandwich Islands (UK), St. Pierre and Miquelon (FR), Turks and Caicos (UK), Wallis and Futuna Islands (FR).

## **ACP COUNTRIES:**

### **Africa:**

South Africa, Angola, Benin, Botswana, Burkina Faso, Burundi, Central African Republic, Cameroon, Cabo Verde, Chad, Comoros Islands, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Djibouti, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Equatorial Guinea, Kenya, Lesotho, Liberia, Madagascar, Malawi, Mali, Mauritius, Mauritania, Mozambique, Namibia, Niger, Nigeria, Uganda, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, Sudan, Swaziland, Tanzania, Togo, Zambia and Zimbabwe.

### **Caribbean:**

Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Surinam, Trinidad and Tobago.

### **Pacific:**

Cook Islands, East Timor, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Niue, Palau, Papua New Guinea, the Solomon Islands, Western Samoa, Tonga, Tuvalu, Vanuatu.

### **OTHER:**

Australia, New Zealand.