



**Contracting Authority:** European Union  
Represented by the European Commission

**EU-CHINA ENVIRONMENTAL GOVERNANCE PROGRAMME  
(EGP)**

**Guidelines  
for grant applicants**

**BGUE-B2011-19.100101-C1-DEVCO**

Reference: EuropeAid/132-005/L/ACT/CN

Deadline for submission of proposals:

**1<sup>st</sup> Batch**

Tuesday, 3 January 2012

**2<sup>nd</sup> Batch**

Monday 14 May 2012

## **NOTICE**

This is a restricted Call for Proposals. In the first instance, only Concept Notes must be submitted for evaluation. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form. Further to the evaluation of the Full Applications, an eligibility check will be performed for those which are provisionally selected. This check will be undertaken on the basis of the supporting documents requested by the Contracting Authority and the signed "Declaration by the Applicant" sent together with the application.

# Table of contents

<b>1. EU-CHINA ENVIRONMENTAL GOVERNANCE PROGRAMME (EGP)</b>	<b>4</b>
1.1 Background.....	4
1.2 Objectives of the programme and priority issues .....	4
1.3 Financial allocation provided by the contracting authority .....	5
<b>2. RULES FOR THIS CALL FOR PROPOSALS</b>	<b>7</b>
2.1 Eligibility criteria.....	7
2.1.1 Eligibility of applicants: who may apply?.....	7
2.1.2 Partnerships and eligibility of partners.....	8
2.1.3 Eligible actions: actions for which an application may be made.....	9
2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant .....	14
2.2 how to apply and the procedures to follow.....	15
2.2.1 Concept Note content.....	15
2.2.2 Where and how to send concept notes .....	16
2.2.3 Deadline for submission of the Concept Notes .....	16
2.2.4 Further information for Concept Note.....	17
2.2.5 Full Application form.....	17
2.2.6 Where and how to send the Full Application form .....	18
2.2.7 Deadline for submission of the Full Application form.....	18
2.2.8 Further information for the Full Application form.....	19
2.3 Evaluation and selection of applications .....	20
2.4 Submission of supporting documents for provisionally selected applications .....	23
2.5 Notification of the Contracting Authority's decision .....	24
2.5.1 Content of the decision.....	24
2.5.2 Indicative time table .....	24
2.6 Conditions applicable to implementation of the action following the Contracting Authority's decision to award a grant .....	26
2.7 <b>Early warning system and central exclusion database</b> .....	26
<b>3. LIST OF ANNEXES</b>	<b>27</b>

# 1. EU-CHINA ENVIRONMENTAL GOVERNANCE PROGRAMME (EGP)

## 1.1 BACKGROUND OF THE EGP PROGRAMME

China has been the fastest-growing major economy for the past quarter of a century with an average annual GDP growth in excess of 9%. China has the world's second-largest economy in Purchase Parity Power terms, and is expected to shortly achieve the same rank at market exchange rates. It has the world's second-largest manufacturing sector and is the world's largest exporter of goods. Since 2004, the EU has been China's largest trading partner, having overtaken USA and Japan. For the EU, China remains the second largest trading partner after USA.

In the environmental field however the picture is much less favorable. Chinese leaders themselves are referring to the environmental situation as "grim", and considerably higher attention by various levels of government, stakeholders and the public at large is still needed. Environmental objectives have been mentioned routinely in policy statements. Over the years, a comprehensive body of policies and laws has also been adopted, but the implementation and enforcement of policies and laws are inadequate. The government has recognized that the public and the private sectors have an important role to play in environmental governance and environmental protection.

The China Council for International Cooperation on Environment and Development (CCICED), which reports to the Prime Minister, had a Task Force on Environmental Governance that identified participation by civil society through transparency of information, greater policy coherence and planning capacity, and engaging the business sector as key issues that should be addressed.

Along the recommendation of the CCICED, the State Council wishes to "improve social awareness in ecological culture", to "expand public right and access to environmental information" and to "improve the mechanism for public participation in environmental protection". A number of new regulations promoting public participation concerning the environment have been enacted, including the *Procedure for Public Participation in Environmental Impact Assessment* and the *Decree on Environmental Information Disclosure (Trial)*, which came into force on 1<sup>st</sup> May 2008. Nevertheless, mechanisms for a culture of engaging the public and the private sector constructively and meaningfully in environmental governance have yet, for the most part, to be established.

### Design of the Programme

The Environmental Governance Programme (EGP) is a key priority of the EU-China environmental cooperation. It aims at deploying opportunities for improving the environmental situation across China through the following **core themes**:

- (i) Public access to environmental information;
- (ii) Public participation/ consultation in environmental decision making;
- (iii) Access to justice in environmental matters;
- (iv) Proactive engagement of the private sector in sustainable practices (corporate environmental responsibility and market based instruments).

The EGP is made up of two components:

**Component 1 focuses on the local level.** It will contribute to the EGP objectives through a series of local-level Partnership Projects (PPs) selected following this Call for proposals. Proposals for PPs are expected to address the core themes of EGP at the local level. PPs will focus on local actions, build on local experience and showcase good practices of environmental governance at the local level. They may encourage modifications to implementing rules and regulations which at present are inadequately applied. Experience gained through the PPs at the local level, are expected to feed into recommendation for regulatory improvement, change or enhancement at the central level to be promoted under the Component 2.

**Component 2 is mostly implemented at the national (central) level.** It focuses on providing technical advice to the government's own initiatives in environmental governance. It addresses also all the same four themes of the EGP highlighted earlier. It preferably builds on the outputs of the PPs, consolidates their outcomes and draws lessons from them. Importantly it develops policy experience briefs to inform policy makers on success stories extracted from the outcomes of the PPs and draft practical policy improvement opportunities submitted to Ministry of Environmental Protection (MEP) policy shapers and decision makers as recommendations for regulatory changes, upgrading or enhancement.

## 1.2 OBJECTIVES OF THIS CALL FOR PROPOSALS

The **global objective** of this Call for Proposals is to “*improve environmental governance in China through enhanced governmental function, public participation and corporate responsibility at the local level*”.

The **specific objective** of this Call for Proposals is to enable the development of Partnerships Projects (PPs) that will focus on local actions, build on local experience and showcase good practices of environmental governance at the local level across China.

A PP is expected to practically contribute to the achievement of one or several of the following results:

1. Implementation of environmental policy and law is improved through enhanced public participation and coherent and relevant local legislation.
2. Improved access to justice on environmental matters for the government and the public.
3. Improved role of beneficiaries (public, civil society, local government) in environmental and development planning and decision-making at local levels through awareness and enhanced access to adequate information.
4. The private sector is engaged in proactive and sustainable practices and the use of market-based instruments has been increased.

### Partnership Projects Advisory Board

Without prejudice to the autonomy of the grants, a Partnership Projects Advisory Board (PPAB) will be established by the EC and MEP to oversee the implementation of the PPs (responsibilities detailed below). The PPAB will be co-chaired by the EC and MEP. Its members will include the EC (2 representatives, 1 appointed as co-chair), MEP (2 representatives, 1 appointed as co-chair), MOFCOM (1 representative) and the Provincial EPBs concerned by one or more of the projects (1 representative per concerned EPB).

Without prejudice to the EC grants regulation, the responsibilities of the PPAB will be to assist the Contracting Authority by reviewing the implementation of the PPs and by providing advice and guidance for the implementation of the PPs. Representatives of the PPs shall attend the PPAB upon invitation by both chairs and report to the PPAB on their projects' implementation and respond to the questions, advice and guidance made by the PPAB. Relevant questions, advice and guidance made by the PPAB will be taken into consideration during the monitoring and evaluation of the PPs by the EC.

The PPAB will meet at least once a year, at the same time as the Annual Regional Dissemination Conference. The Project Task Force will act as Secretariat to the PPAB. All costs related to the PPAB member's participation (e.g. travel, per diems) to the PPAB are to be covered by the members themselves.

## 1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this Call for Proposals is EUR 11.250.000. The Contracting Authority reserves the right not to award all available funds.

## Lots

To achieve the results highlighted above, the Call for Proposal has been structured into the following four lots corresponding to the four core themes of the EGP:

Lot 1: Public access to environmental information.

Lot 2: Public participation/consultation in environmental decision making.

Lot 3: Access to justice in environmental matters.

Lot 4: Proactive engagement of the private sector in sustainable practices.

An indicative allocation of 25% of the total funds available has been earmarked for each of the four lots mentioned above.

In the case where the percentage foreseen for a specific lot cannot be used up due to insufficient quality or insufficient number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to another lot.

## Size of grants

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

- minimum amount: EUR 300.0000
- maximum amount: EUR 1.000.000

In addition, no grant may exceed 75% of the total eligible costs of the action (see also section 2.1.4). 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 the applicant's or partners' own resources, or from sources other than the European Union budget or the European Development Fund<sup>1</sup>. The Programme aims at a balanced coverage of the PPs action over the whole country. To avoid over-representation of projects in specific provinces or regions the following provision is made: an indicative maximum of 35 % of the funds available under each lot will be allocated to the following provincial capitals and municipalities: Guangzhou, Fuzhou, Hangzhou, Shanghai, Nanjing, Jinan, Tianjin, Beijing and Shenyang. In the case where the minimum percentage foreseen for the other provinces cannot be used up due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds to those provincial capitals and municipalities.

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<sup>1</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.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this Call, in conformity with the provisions of the Practical Guide to contract procedures for EU external actions, which is applicable to the present call (available on the Internet at this address: [http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)).

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- applicant(s) which may request a grant (2.1.1), and their partners (2.1.2);
- actions for which a grant may be awarded (2.1.3);
- types of cost which may be taken into account in setting the amount of the grant (2.1.4).

#### 2.1.1 Eligibility of applicants: who may apply?

(1) In order to be eligible for a grant, applicants **must**:

- be legal persons or (only for Lot 3) an entity without legal personality<sup>2</sup> **and**
- be not-for-profit making<sup>3</sup> **and**
- be specific types of organisations such as:
  - ✓ For Lot 1: non-governmental organisations registered in China or in the EU, universities, central or local independent research organizations, local independent centres also working for local authorities, etc.
  - ✓ For Lot 2: non-governmental organisations registered in China or in the EU, universities, central or local independent research organizations, local independent centres also working for local authorities, etc.
  - ✓ For Lot 3: non-governmental organisations registered in China or in the EU, universities, central or local independent research organizations, lawyers, law firms and lawyer associations registered in China, independent centres also working for local authorities in China.
  - ✓ For Lot 4: non-governmental organisations registered in China or in the EU, universities, central or local independent research organizations, business associations registered China or the EU, local independent centres also working for local authorities, companies with CSR policy having business in/ with China.
  - ✓ For all Lots: international (inter-governmental) organisations as defined by Article 43 of the Implementing Rules to the EC Financial Regulation<sup>4</sup> **and**,

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- 2 Grant applications may be eligible if submitted by entities which do not have legal personality under the applicable national law, provided that their representatives have the capacity to undertake legal obligations on their behalf, and assume financial liability.
- 3 Profit making entities are eligible provided the action proposed falls clearly into their official Corporate Social Responsibility activities and that they do not make profit out of the action. Any income generated by the action can either be included in the proposed "Budget for the Action" – Annex B under the line "direct revenue from the action" in the worksheet "expected sources of funding" or be deducted from the final costs of the Action.
- 4 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, European Investment Bank (EIB) and European Investment Fund (EIF) are also recognized as international organisations.

- be nationals<sup>5 6</sup> of a Member State of the European Union, or of an official candidate country as recognised by the EC, or of a member State of the EEA, of the People's Republic of China (excluding Taiwan, Hong Kong and Macao), or any other eligible country stipulated in the eligibility rules of the DCI Regulation (EC regulation no. 1905/2006 of 18 December 2006) (see List of Eligible Countries in Annex J) - this obligation does not apply to international organisations -, **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address:

[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm));

In Part A, section 3 of the grant application form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

(3) Potential applicants may not participate in calls for proposals or be awarded grants if they are in a situation of conflict of interest, as highlighted in Section 2.3.6 of the Practical Guide to contract procedures for EU external actions (available from the following Internet address:

[http://ec.europa.eu/europeaid/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm))

A conflict of interest may arise where, for instance, an expert/company has the possibility to obtain privileged information leading to unfair competition in subsequent or related procedures. Or where a firm or an expert participating in the preparation of a project (e.g. drafting of the Guidelines) participates in calls for proposals based on this preparatory work, unless they can prove to the Contracting Authority that the involvement in previous stages of the project does not constitute unfair competition. Or where applicants are at the same time authorities from the Beneficiary country, i.e. a central or local government authority in PRC.

### 2.1.2 Partnerships and eligibility of partners

Applicants must act with minimum one (1) partner organisation as specified hereafter.

#### Partners

Applicants' partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. They must therefore satisfy the eligibility criteria as applicable on the grant beneficiary himself.

<sup>5</sup> Such nationality being 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. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a “Memorandum of Understanding” has been concluded.

<sup>6</sup> If the applicant's legal personality has been recognised in a country eligible under this section pursuant to the Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations (<http://conventions.coe.int/Treaty/Commun/QueVoulezVous.asp?NT=124&CM=8&DF=07/03/2011&CL=ENG>), the official evidence issued by the country concerned under the said Convention shall determine the nationality of the organisation.

The minimum size of partnerships consists of at least one Chinese entity and one European entity. However, in line with the goals of the programme and the desirability to involve many China based organizations, it is encouraged to act with more partners.

Each member of a partnership must have a precise and clearly identified role in the implementation of the project. There is no upper limit on the number of members in a partnership. A partnership should be composed in such a way as to allow for the achievement of project objectives in the most effective and cost-efficient manner.

The role of each partnership member organization must be clearly explained in the proposal. Even though the Contracting Authority concludes a contract with the Beneficiary only (i.e. the applicant), all partners should be shown to actively contribute to the implementation of the project. It is strongly recommended that the applicant and its partners draw up an agreement defining the technical and financial rights and obligations of each partnership member. A clear written allocation of responsibilities and a balanced distribution of costs will contribute to the partnership's success.

**The following are not partners and do not have to sign the “partnership statement”:**

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. The associates have to be mentioned in Part B section 5 - “Associates of the Applicant participating in the Action” of the Grant Application Form.

- Contractors

The grant beneficiaries have the possibility to award contracts. Contractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract.

The applicant will act as the lead organisation and, if selected, as the contracting party (the "Beneficiary").

**2.1.3 Eligible actions: actions for which an application may be made**

Definition:

An action (or project) is composed of a set of activities.

Duration

The planned duration of an action may not be lower than 12 months nor exceed 24 months.

Types of action

This call for proposals specifically targets the local level context (province, municipality directly under central government, other city or municipality, county). A proposal must therefore clearly focus on action and outcome at the local/ provincial level and not at the central level. Actions can be developed in urban and/or rural domains as well as in any industry and service sectors in any geographic and socio-economic context observable in PRC.

The themes to be addressed have been subdivided in four distinct lots addressing each a specific “core theme” of the EGP. Subject matters, issues or practices to be assessed, surveyed, reviewed and/or tested, documented, showcased, proved and recommended at the local level in a PP may among others include but not be limited to one or several of the following types of actions:

**For Lot 1: Public access to environmental information.**

- ✓ Developing good practices regarding principles, standards, provisions, legislations, checklists or guidelines of public access to environmental information;
- ✓ Developing examples of different data & information made publicly accessible;
- ✓ Developing examples of public access to data about pollution emissions by enterprises;
- ✓ Demonstrating the usefulness of a right of access and its practical application;
- ✓ Strengthening capacity of public authorities and other bodies with a duty to inform;
- ✓ Developing good practices of formal requirement, form of request and practical arrangements for information disclosure;
- ✓ Demonstrating the impact of completeness and adequacy of laws and regulation;
- ✓ Demonstrating and applying lessons learned from current temporary trials or pilot measures and practices in PRC;
- ✓ Developing examples showing the value adding character of environmental journalism;
- ✓ Developing examples showing the importance of objectivity and accuracy of public environmental quality and pollution control monitoring data;
- ✓ Developing good practices for capacity of local environmental authorities;
- ✓ Mainstreaming environmental values in school curricula;
- ✓ Developing mechanisms for timely and easily accessible disclosure of data and information;
- ✓ Developing capacity building measures to rationalise and augment local implementation of regulations;
- ✓ Developing good practices of engagement of the media to make the public aware of rights and obligations under Chinese laws and regulations,;
- ✓ Providing assistance to the implementation of environmental information disclosure regulations;

**For Lot 2: Public participation in environmental consultation and decision making.**

- ✓ Educating and informing the public;
- ✓ Incorporating public values into decision-making;
- ✓ Improving the substantive quality of decisions;
- ✓ Increasing trust in institutions through participation;
- ✓ Reducing conflict and fostering social peace;
- ✓ Testing public participation mechanisms that achieve results in particularly economical ways
- ✓ Strengthening public consultation practices;
- ✓ Strengthening public participation/ consultation on the environmental impact of public investment;
- ✓ Improving public consultation in the EIA process;
- ✓ Strengthening public feedback mechanisms;
- ✓ Strengthening public consultation for the permitting of sites or activities;
- ✓ Enhancing consistency of environmental legislation and its implementation through consultation and involvement of different cross-sectoral stakeholders;
- ✓ Strengthening local public environmental awareness and education through various media;
- ✓ Developing procedures allowing the public and local interest groups to participate in, appraise and react to implementation of environmental regulations;

**For Lot 3: Access to justice in environmental matters.**

- ✓ Enhancing knowledge and application of environmental rights like information, participation, environmental quality;
- ✓ Proposing, assessing and testing non-judicial dispute resolution and mediation processes;
- ✓ Reviewing, assessing and providing recommendation for improvement of exemplary court litigation including dispute resolution and settlement, case management, provisional remedial measures;
- ✓ Assessing and recommending improvement regarding completeness of laws, regulations and eligibility rules for plaintiffs based on past court cases experience;
- ✓ Reviewing and assessing court cases and recommending improved processes and procedures regarding trials including laws, procedures, evidentiary proof, standards of review, scientific uncertainty;

- ✓ Proposing China adapted improved solutions and mechanisms regarding remedies and enforcement like damages, restitution and remediation, sanctions and penalties, fees & costs, enforcement of decision;
- ✓ Supporting the development of rules and procedures for evidentiary proof;
- ✓ Supporting the development of rules and procedures for compensation estimation;
- ✓ Enhancing the accessibility and funding of legal advice to the public;
- ✓ Supporting public environmental mediators and councilors;
- ✓ Supporting coordination and cooperation between local environmental authorities and judicial systems in environmental cases;
- ✓ Demonstrating and applying lessons learned from pilot projects in China (environmental courts, environmental police, etc.);
- ✓ Organising of local seminar/training series focused on environmental law for lawyers, judges and other enforcement practitioners;
- ✓ Establishing local legal assistance support centres for pollution victims;
- ✓ Improving the competence of existing local judicial systems to try environmental cases;
- ✓ Proposing and supporting mechanisms for public prosecutors to act on behalf of the public;

**For Lot 4: Proactive engagement of the private sector in sustainable practices.**

- ✓ Enhancing private sector's corporate social responsibility (CSR);
- ✓ Testing and improving voluntary environmental management instruments;
- ✓ Supporting the advancement of market based policy instruments;
- ✓ Developing and improving public incentives for good environmental behaviour;
- ✓ Strengthening environmental management and reporting by enterprises;
- ✓ Supporting the advancement of environmental labels and indexes;
- ✓ Greening the supply chain between Europe and China;
- ✓ Facilitating and supporting green public purchasing in China;
- ✓ Developing Green awards linked to environmental governance;
- ✓ Organising forums on CSR good practices in China and its benefits to industrial enterprises;
- ✓ Developing and showcasing examples of innovative local public-private partnerships;
- ✓ Organising workshops and training on pollution emissions trading (excluding CO<sub>2</sub>);
- ✓ Developing examples of good practices at sub-national level on environmental pricing-taxation systems;
- ✓ Strengthening local government's capacity to use economic policy instruments;

An action should specify under which Lot it is applying for support even if the action is also contributing to other core themes of the programme. An action is expected to deliver its main tangible(s) result(s) as defined under point 1.2, in the Lot category under which the action has been proposed.

An action should clearly focus on EGP issue(s) at the local level. This is to be specified and documented in the description of the PP objectives, activities, deliverables and targeted results and outcomes. A PP action should preferably also:

- 1) Build on existing situation and available local competence and resources that can be used for local assessment, survey, review and documentation of issues;
- 2) As much as possible build upon and strengthen already existing networks, institutions or initiatives;
- 3) When possible build on past completed projects that have already built awareness about EGP issues and prepared the way for Environmental Governance enhancement;
- 4) Promote, test, demonstrate and document practical environmental governance good practice or practices at the local level (provincial, municipal, or rural);
- 5) Demonstrate practical, tangible and well documented lessons learned toward policy facilitating results aligned with one or more results as defined in paragraph 1.2;
- 6) Document clear and practical governance improvement opportunity with impact going beyond delivering project output such as awareness building, general recommendation, capacity building or training;

- 7) Encourage the reliance on and the testing of replication mechanism(s) enabling the duplication of similar actions by similar stakeholders beyond the boundary of the EGP implementation period;
- 8) Demonstrate and document practical opportunity for policy and regulatory improvement at the local level with possible implication for policy and regulatory enhancement at the central level;
- 9) Contribute practical case studies and evidence that can be used in the component 2 to inform policy and recommend practical policy and regulatory improvement at the central level.

An action, and a PPs proposal as a whole, will have to be in line with China's legislation and planning.

### Location

Actions must take place in one or more of the provinces of the People's Republic of China.

### Types of activities

The project action should include any types of activities chosen and defined by the applicant and the partners, which are directly linked to the action proposed in one of the core themes of the EGP.

Activities to be defined by each project are at the convenience of the applicant and partners. They should be essential for the project, represent a coherent suite of tasks which directly contribute to the advancement of the stated targeted results of the PP which should be aligned with the list of results listed in paragraph 1.2. These activities may include but not be limited to: survey, interview, study work, concepts or systems development and testing, solutions development and testing, reviewing and commenting past legal proceedings, meeting, seminar, workshop, event, training course, paper, digital or online publication, media products, etc.

### ***Performance and impact indicators***

Each project proposal should define its own clear, tangible and measurable set of indicators related to the main objectives and targeted results of the EGP (see 1.2) especially in terms of policy facilitation. The indicators should focus on project policy enhancement impacts and not only on projects outputs. The indicators should take into consideration the way of measuring advancement or achievement against a necessary baseline situation defined at the start of the project.

Each project proposal should include at least one (but preferably more) quantitatively and qualitatively measurable indicators in each of the following categories:

1. Environmental improvement in the local area(s) concerned by the action;
2. Social improvement in the local area(s) concerned by the action;
3. Good practice(s) development and demonstration;
4. Good practice(s) replication potential;
5. Outreach of the action in terms of public population and stakeholder concerned;
6. Local policy improvement potential;
7. Central policy improvement impact potential.

### ***Visibility***

#### *Visibility of the EU financing*

The applicant 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 laid down and published by the European Commission at (see [http://ec.europa.eu/europeaid/work/visibility/index\\_en.htm](http://ec.europa.eu/europeaid/work/visibility/index_en.htm)).

In particular, any PP seeking EU support under this Call for Proposal should include a specifically budgeted communication and visibility plan of activities that should be included in the work plan of the action.

The communication and visibility plan should be an integrated part of the action work plan, be developed alongside the project activities planning and reinforce the capacity of the action to achieve its targeted results.

The communication and visibility plan should include the following:

- ✓ Objectives;
- ✓ Communication activities including internal kick-off meeting and periodic coordination meetings in China involving applicant and all partners;
- ✓ Visibility activities including a compulsory public launching event;
- ✓ Indicators of achievement;
- ✓ Human and Financial Resources.

*EGP Visibility Network*

In addition, a PP needs to contribute to the EGP Visibility Network. It is obligatory for all projects funded under the EGP to participate in activities organized by the EGP Visibility Network managed by the EGP visibility team under the Component 2 and to provide project related information to the EGP team under Component 2 and the Delegation .

The costs for such contributions must be included in the action budget to be able to fulfill these obligations.

This should include specifically

- ✓ 10 person-days per year for participation at the annual EGP Conference and one regional workshop (2 times 2 person-days for material preparation , 2 times 3 person-days for participation at event), plus 2 times 3 days per diems to cover the participation of up to 2 contributing participants and 2 times 2 travel to the event place,
- ✓ 4 person-days home work per year to provide six monthly outcome and results oriented brief project profiles and progress summaries for publication by the EGP visibility team under the Component 2,
- ✓ 4 person-days home work per year to provide project related case studies documentation, policy brief preparation and lessons learned from PP project activities along a table of content provided by the EGP team of the Component 2,
- ✓ 4 person-days home work per year for dissemination activities under the Component 2 especially to contribute to the EGP interactive website content about PPs processes and results (videos, podcasts, blogs, etc.) to be managed by the EGP Visibility Network Facility.

The table below summarizes the level of input required from the PP partners to be earmarked and reserved in the project budget per PP project year.

EGP Network Activity	Input to be earmarked and reserved in the PP budget/ per project year			
	Person days (home work)	Person days (field work)	Per diem days in China	Travel to event
Annual EGP Conference	2	3	3	2
Regional Workshop	2	3	3	2
Six monthly PP progress briefs for publication	4			
Case studies documentation in EGP format	4			
Results dissemination contribution	4			

The following visibility types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses.

#### Number of applications and grants per applicant

An applicant may submit more than one application under each lot of this Call for Proposals provided they are addressing clearly different actions.

An applicant may be awarded only one grant under each lot of this Call for Proposals.

An applicant may at the same time be partner in other application(s) under each lot of this Call for Proposals.

Partners may take part in more than one application.

No two applications of the Call for Proposal within a lot and across all the four lots should have the exact same partnership configuration. In such a case the applications submitted shall be rejected on this sole basis.

#### *2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant*

Only "eligible costs" can be taken into account for a grant. The categories of costs considered as eligible and non-eligible are indicated below. The budget is both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs based on supporting documents (except for subsistence costs and indirect costs where flat-rate funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other 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. The amount of the grant and the percentage of the EU co-financing as a result of these corrections may not be increased.

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

#### Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex G of the Guidelines).

#### Contingency reserve

A contingency reserve not exceeding 5% of the estimated direct eligible costs may be included in the Budget of the Action. It can only be used with the **prior written authorisation** of the Contracting Authority.

#### Eligible indirect costs (overheads)

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

If the applicant is in receipt of an operating grant financed from the EU, no indirect costs may be claimed within the proposed budget for the action.

#### Contributions in kind

Contributions in kind are not considered actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the Beneficiary.

Notwithstanding the above, if the description of the action as proposed by the Beneficiary foresees the contributions in kind, such contributions have to be provided.

#### Ineligible costs

The following costs are not eligible:

- debts and debt service charges
- provisions for losses or potential future liabilities;
- interest owed;
- costs declared by the beneficiary and covered by another action or work programme;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations do not forbid coverage of taxes;
- credit to third parties.

## 2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

Prior registration in PADOR for this Call for Proposals is obligatory all applicants and their partners.

- **Phase 1, The concept note:** Registration in PADOR is obligatory for the applicants.
- **Phase 2, The full proposal:** Registration in PADOR is obligatory for all pre-selected applicants and all their partners.

PADOR is an on-line database in which organisations register themselves and update regularly their data, through the Europeaid website: [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

Before starting the registration of your organisation in PADOR, please read the "Quick guide" available on the website. It explains the registration process.

You have to indicate on the paper version of the proposal the EuropeAid ID (EID). To get this identification, your organisation must register, save and "sign" (committing your responsibility) in PADOR obligatory data (on each screen the fields written in orange) and the related documents (see section 2.4).

Notwithstanding the above, if the organisation is in a situation where it is impossible to register in PADOR, it shall submit a justification proving that such impossibility is of a general nature and goes beyond the control of the applicant and or its partner(s). In this case, the applicant and/or the partners concerned shall complete the "PADOR off-line form"<sup>7</sup> in annex of these Guidelines and send it by the submission deadline along with the application to the address indicated in sections 2.2.2 and 2.2.6. Subsequently, the registration in PADOR will be initiated by the European Commission. If, at a later stage, the organisation wishes to update itself its data, an access request will have to be sent to the PADOR helpdesk.

All questions related to the registration in PADOR should be addressed to the PADOR helpdesk at: [Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu).

### 2.2.1 *Concept Note content*

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

Applicants must apply in English.

In the Concept note, the applicants must only provide an estimate of the amount of contribution requested from the Contracting Authority. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements assessed on the basis of the concept note may not be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. The applicant is free to adapt the percentage of co-financing required within the

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<sup>7</sup> Which corresponds to Sections 3 and 4 of Part B of the application form.

minimum and maximum amount and percentages of co-financing, as laid down in the present Guidelines under section 1.3.

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

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

Hand-written Concept Notes will not be accepted.

Please note that only the Concept Note form will be evaluated. It is therefore of utmost importance that this document contain ALL relevant information concerning the action. No additional annexes should be sent.

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

The Concept note together with the Checklist for the Concept Note (Part A section 2 of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section 3 of the grant application form) must be submitted in one original and 3 (three) copies in A4 size, each bound.

Concept Notes must be submitted as well in electronic format (CD-Rom). The electronic format must contain **exactly the same** application as the paper version enclosed.

Where an applicant sends several different concept notes (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer 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 applicant, and the words "Not to be opened before the opening session" and "开标会议之前不得开启".

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) at the address below:

Postal address

Attn: Ms. Maria Luisa WYGANOWSKI  
EU Delegation to China & Mongolia  
Finance, Contracts and Audit Section  
15 Dongzhimenwai Dajie  
Sanlitun  
Beijing 100600  
China

Address for hand delivery or by private courier service

Attn: Ms. Maria Luisa WYGANOWSKI  
EU Delegation to China & Mongolia  
Finance, Contracts and Audit Section  
4<sup>th</sup> Floor, Qian Kun Mansion  
6 Sanlitun Xi Liu Jie  
Beijing 100027  
China

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

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

### 2.2.3 *Deadline for submission of the Concept Notes*

There will be 2 (two) deadlines for the submission of Concept Notes:

**1<sup>st</sup> Deadline: Tuesday 3 January 2012**, 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 at 16:00 Beijing time of the same day as evidenced by the signed and dated receipt.

**2<sup>nd</sup> Deadline: Monday 14 May 2012**, 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 at 16:00 Beijing time of the same day as evidenced by the signed and dated receipt.

Any Concept Note **submitted** after the **first** deadline will automatically be included in the next batch of applications.

Any Concept Note **submitted** after the **second** deadline will automatically be rejected.

For reasons of administrative efficiency, the Contracting Authority may also reject any Concept Note **received** after the effective date of approval of the Concept note evaluation (see indicative calendar under section 2.5.2).

**Funds available for proposals submitted under the second deadline will depend on the funds awarded following the evaluation of the first batch of proposals.**

#### **2.2.4 Further information for Concept Note**

Information sessions on this Call for Proposals will be held on Monday 28 November 2011 at 10:30 Beijing time.

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

E-mail address: [DELEGATION-CHINA-CALL-TENDER@eeas.europa.eu](mailto:DELEGATION-CHINA-CALL-TENDER@eeas.europa.eu)

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

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

In the interest of equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a partner, an action or specific activities.

Questions that may be relevant to other applicants, together with the answers as well as other important notices to applicants during the course of the evaluation procedure, may be published on the internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, as the need arises. It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

All questions related to PADOR registration should be addressed to the PADOR help desk:

[Europeaid-pador@ec.europa.eu](mailto:Europeaid-pador@ec.europa.eu)

#### **2.2.5 Full Application form**

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

The elements assessed on the basis of the concept note cannot be modified by the applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, while the applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.3.

Applicants must submit their applications in the same language as their concept note.

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 6 of the Grant Application form) or any major inconsistency in the full application form (e.g. the amounts mentioned in the budget worksheets are inconsistent) may lead to the rejection of the application.

Clarifications will only be requested when information provided is unclear, thus preventing 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. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. **No supplementary annexes should be sent.**

### *2.2.6 Where and how to send the Full Application form*

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

Attn: Ms. Maria Luisa WYGANOWSKI  
EU Delegation to China & Mongolia  
Finance, Contracts and Audit Section  
15 Dongzhimenwai Dajie  
Sanlitun  
Beijing 100600  
China

Address for hand delivery or by private courier service

Attn: Ms. Maria Luisa WYGANOWSKI  
EU Delegation to China & Mongolia  
Finance, Contracts and Audit Section  
4<sup>th</sup> Floor, Qian Kun Mansion  
6 Sanlitun Xi Liu Jie  
Beijing 100027  
China

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 3 (three) copies in A4 size, each bound. The full application form, budget and logical framework must also be supplied in electronic format (CD-Rom) in a separate and unique file (e.g. the full application form must not be split into several different files). The electronic format must contain **exactly the same** application as the paper version.

The Checklist (Section 6 of Part B of the grant application form) and the Declaration by the applicant (Section 7 of Part B of the grant application form) must be stapled separately and enclosed in the envelope

Where an applicant sends several different applications (if allowed to do so by the Guidelines of the Call), each one must be sent separately.

The outer envelope must bear the **reference number and the title of the Call for Proposals**, together with the number and title of the lot the full name and address of the applicant, and the words "Not to be opened before the opening session" and "开标会议之前不得开启".

**Applicants must verify that their application is complete using the checklist (Section 6 of Part B of the grant application form). Incomplete applications may be rejected.**

### *2.2.7 Deadline for submission of the Full Application form*

The deadline for the submission of applications will be indicated in the letter sent to the applicants whose application has been preselected.

However, for reasons of administrative efficiency, the Contracting Authority may reject any application received after the effective date of approval of evaluation report for full applications (see indicative calendar under Section 2.5.2)

#### **2.2.8** *Further information for the Full Application form*

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

E-mail address: [DELEGATION-CHINA-CALL-TENDER@eeas.europa.eu](mailto:DELEGATION-CHINA-CALL-TENDER@eeas.europa.eu)

Contracting Authority has no obligation to provide further clarifications after this date.

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

In the interest of equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of an applicant, a partner or an action.

Questions that may be relevant to other applicants, together with the answers, will be published on the internet at website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>. It is therefore highly recommended to regularly consult the abovementioned website in order to be informed of the questions and answers published.

## 2.3 EVALUATION AND SELECTION OF APPLICATIONS

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

If the examination of the application reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the application shall be rejected on this sole basis.

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

The following will be assessed:

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

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the action.

The Concept Note will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with instructions provided in the guidance for Concept Note.

The evaluation criteria are divided into headings and subheadings. Each subheading will be given a score between 1 and 5 in accordance with the following assessment categories: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

		<b>Scores</b>
<b>1. Relevance of the action</b>		<b>Sub-score 30</b>
1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**	
1.2 How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication)	5x2*	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4 Does the proposal contain specific added-value elements with regards to the objectives and targeted results mentioned under paragraph 1.2 as well as other environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?	5	
<b>2. Design of the action</b>		<b>Sub-score 20</b>
2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2 Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	

**TOTAL SCORE 50**

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

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

First, only the Concept Notes which have been given a score of a minimum of 30 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to 3 (three) times the available budget for this Call for Proposals, taking into account the indicative financial envelopes foreseen by lot.

Following the Concept Note evaluation, the Contracting Authority will send a letter to all applicants, indicating whether their application was submitted prior to the deadline, informing them of the reference number they have been allocated and whether the Concept Note were evaluated and the results of that evaluation. The preselected applicants will subsequently be invited to submit full applications.

## (2) STEP 2: EVALUATION OF THE FULL APPLICATION

First, the following will be assessed:

- The submission deadline has been respected. If the deadline has not been respected the application will automatically be rejected.
- The full application form satisfies all the criteria specified in points 1-8 of the Checklist (Section 6 of Part B of the grant application form). If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

An evaluation of the quality of the applications, including the proposed budget, and of the capacity of the applicant and its partners, will be subsequently carried out in accordance with the evaluation criteria set out in the Evaluation Grid included below. There are two types of evaluation criteria: selection and award criteria.

**The selection criteria** are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- have stable and sufficient sources of finance to maintain their activity throughout the period during which the action is being carried out and, where appropriate, to participate in its funding;
- have the management capacity, professional competencies and qualifications required to successfully complete the proposed action. This also applies to any partners of the applicant.

**The award criteria** allow the quality of the applications submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of applications which the Contracting Authority can be confident will comply with its objectives and priorities. They cover such aspects as 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 criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 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 applicant and, if applicable, partners have sufficient experience of project management?	5
1.2 Do the applicant and, if applicable partners have sufficient technical expertise? (notably	5

knowledge of the issues to be addressed.)	
1.3 Do the applicant and, if applicable, partners have sufficient management capacity? (including staff, equipment and ability to handle the budget for the action)?	5
1.4 Does the applicant have stable and sufficient sources of finance?	5
<b>2. Relevance of the action</b>	<b>30</b>
<i>Score transferred from the Concept Note evaluation</i>	
<b>3. Effectiveness and feasibility of the action</b>	<b>20</b>
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? Is evaluation foreseen?	5
3.4 Is the partners' level of involvement and participation in the action satisfactory?	5
<b>4. Sustainability of the action</b>	<b>15</b>
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects? (Including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action sustainable: - financially ( <i>how will the activities be financed after the funding ends?</i> ) - institutionally ( <i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i> ) - at policy level (where applicable) ( <i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i> ) - environmentally (if applicable) ( <i>will the action have a negative/positive environmental impact?</i> )	5
<b>5. Budget and cost-effectiveness of the action</b>	<b>15</b>
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
<b>Maximum total score</b>	<b>100</b>

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

*Note on Section 1. Financial and operational capacity*

If the score is less than 12 points for section 1, the application will be rejected.

*Provisional selection*

Following the evaluation, a table listing the applications ranked according to their score and within the available financial envelope will be established as well as a reserve list following the same criteria.

### **(3) STEP 3: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS**

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see Section 2.4) will only be performed for the applications that have been provisionally selected according to their score and within the available financial envelope.

- The Declaration by the applicant (Section 7 of Part B the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the application on that sole basis.

- The eligibility of the applicant, the partners, and the action will be verified according to the criteria set out in Sections 2.1.1, 2.1.2 and 2.1.3.

Following the above analysis and if necessary, any rejected application will be replaced by the next best placed application in the reserve list that falls within the available financial envelope, which will then be examined for the eligibility of its applicant and the partners.

## 2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

Applicants who have been provisionally selected or listed under the reserve list will be informed in writing by the Contracting Authority. They will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners:<sup>8</sup> Supporting documents may/must be provided through PADOR, see Section 2.2.

1. The statutes or articles of association of the applicant organisation<sup>9</sup> and of each partner organisation<sup>10</sup>. Where the Contracting Authority has recognized the applicant's eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, the applicant may submit, instead of its statutes, copy of the document proving the eligibility of the applicant in a former Call (e.g.: copy of the special conditions of a grant contract received during the reference period), unless a change in its legal status has occurred in the meantime.<sup>11</sup> This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:  
[http://ec.europa.eu/europeaid/work/procedures/financing/international\\_organisations/other\\_international\\_organisations/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/financing/international_organisations/other_international_organisations/index_en.htm)
2. Where the grant requested exceeds EUR 500 000 (EUR 100 000 for an operating grant), an external audit report produced by an approved auditor, certifying the applicant's accounts for the last financial year available.  
This obligation does not apply to international organisations.  
This obligation does not apply to public bodies.  
This obligation does not apply to secondary and higher education establishments.
3. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)<sup>12</sup>.
4. Legal entity sheet (see annex D of these Guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.
5. A financial identification form conforming to the model attached at Annex E of these Guidelines, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous financial identification form may be provided instead, unless a change in its bank account occurred in the meantime.

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<sup>8</sup> No supporting document will be requested for applications for a grant not exceeding EUR 25 000.

<sup>9</sup> Where the applicant and/or (a) partner(s) is a public body created by a law, a copy of the said law must be provided

<sup>10</sup> Where Council of Europe Convention n. 124 on the Recognition of the Legal Personality of International Non-Governmental Organisations is applied please refer to footnote n. 6.

<sup>11</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

<sup>12</sup> This obligation does not apply to natural persons who have received a scholarship, nor to public bodies nor 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.

6. For entities without legal personality, evidence that their representative(s) have the capacity to undertake legal obligations on their behalf and assume financial liability.
7. For entities with legal personality, copy of the registration of the legal entity to the national competent authority wherever relevant (see point 2.1.1. of these Guidelines).
8. For Not-for-Profit organizations – **only if the not-for-profit mandate is not evidenced in the statutes or articles of association mentioned under point 1 above**, copy of the statutory document which acknowledges the not-for-profit status of the organization.
9. For Profit making organizations, copy of the current official Corporate Social Responsibility policy of the company endorsed by the CEO.

Where the requested supporting documents are not uploaded in PADOR they must be supplied in the form of originals, photocopies or scanned versions (i.e. showing legible stamps, signatures and dates) of the said originals. However, the Legal entity sheet and the financial identification form must always be submitted in original.

Where such documents are not in one of the official languages of the European Union or in Chinese, a translation into English of the relevant parts of these documents, proving the applicant's eligibility, must be attached and will prevail 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 applicant's eligibility, into English.

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

Based on the verification of the supporting documents by the Evaluation Committee it will make a final recommendation to the Contracting Authority which will decide on the award of grants.

## 2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

### 2.5.1 Content of the decision

Applicants will be informed in writing of the Contracting Authority's decision concerning their application and, in case of rejections, the reasons for the negative decision.

Applicants believing that they have been harmed by an error or irregularity during the award process may file a complaint. See further Section 2.4.15 of the Practical Guide.

### 2.5.2 Indicative time table

#### 1<sup>st</sup> Batch

	DATE	TIME*
<b>Information meeting (if any)</b>	28 November 2011	10:30
<b>Deadline for request for any clarifications from the Contracting Authority</b>	13 December 2011	-
<b>Last date on which clarifications are issued by the Contracting Authority</b>	23 December 2011	-
<b>Deadline for submission of Concept Notes</b>	03 January 2011	16:00

<b>Information to applicants on the opening &amp; administrative checks and concept note evaluation (step 1)</b>	20 January 2012*	-
<b>Invitations for submission of Full Application Form</b>	20 January 2012*	-
<b>Deadline for submission of Full Application Form</b>	05 March 2012*	-
<b>Information to applicants on the evaluation of the Full Application Form (step 2)</b>	28 March 2012*	-
<b>Notification of award (after the eligibility check) (step 3)</b>	20 April 2012*	-
<b>Contract signature</b>	4 June 2012*	-

\***Provisional date.** All times are in the time zone of the country of the Contracting Authority

## 2<sup>nd</sup> Batch

	<b>DATE</b>	<b>TIME*</b>
<b>Information meeting (if any)</b>	(to be confirmed)	(to be confirmed)
<b>Deadline for request for any clarifications from the Contracting Authority</b>	23 April 2012	-
<b>Last date on which clarifications are issued by the Contracting Authority</b>	03 May 2012	-
<b>Deadline for submission of Concept Notes</b>	14 May 2012	16:00
<b>Information to applicants on the opening &amp; administrative checks and concept note evaluation (step 1)</b>	08 June 2012*	-
<b>Invitations for submission of Full Application Form</b>	08 June 2012*	-
<b>Deadline for submission of Full Application Form</b>	23 July 2012*	-
<b>Information to applicants on the evaluation of the Full Application Form (step 2)</b>	24 August 2012*	-
<b>Notification of award (after the eligibility check) (step 3)</b>	14 September 2012*	-
<b>Contract signature</b>	28 October 2012*	-

\***Provisional date.** All times are in the time zone of the country of the Contracting Authority

This indicative timetable may be updated by the Contracting Authority during the procedure. In such case, the updated timetable shall be published on internet at the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> .

## **2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT**

Following the decision to award a grant, the Beneficiary will be offered a contract based on the Contracting Authority's standard grant contract (see Annex G of these Guidelines). By signing the Application form (Annex A of these Guidelines), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the standard grant contract.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the Contracting Authority will be used instead of the standard grant contract 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 to contract procedures for EU external actions.]

### **Implementation contracts**

Where implementation of the action requires the Beneficiary to award procurement contracts, it must award the contract to the tenderer offering the best value for money, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment for potential contractors, care being taken to avoid any conflict of interests. To this end, the Beneficiary must follow the procedures set out in Annex IV to the standard grant contract.

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

The 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 mentioned in:

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

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

### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)<sup>13</sup>

ANNEX D: LEGAL ENTITY SHEET <sup>14</sup>

ANNEX E: FINANCIAL IDENTIFICATION FORM

ANNEX F: PADOR OFF-LINE FORM<sup>15</sup>

#### DOCUMENTS FOR INFORMATION

ANNEX G: STANDARD GRANT CONTRACT

- ANNEX II: GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: CONTRACT AWARD PROCEDURES
- ANNEX V: STANDARD REQUEST FOR PAYMENT
- ANNEX VI: MODEL NARRATIVE AND FINANCIAL REPORT
- ANNEX VII: MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EU FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
- 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/work/procedures/implementation/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/index_en.htm)

ANNEX I: STANDARD CONTRIBUTION AGREEMENT, APPLICABLE IN CASE WHERE THE BENEFICIARY IS AN INTERNATIONAL ORGANISATION

ANNEX J: LIST OF COUNTRIES ELIGIBLE UNDER DCI REGULATION (SEE ANNEX I OF DCI REGULATION)

[http://ec.europa.eu/europeaid/work/procedures/legislation/legal\\_bases/documents/dci\\_en.pdf](http://ec.europa.eu/europeaid/work/procedures/legislation/legal_bases/documents/dci_en.pdf)

PROJECT CYCLE MANAGEMENT GUIDELINES

[http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101\\_en.htm](http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm)

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<sup>13</sup> Optional where the total amount of the grants to be awarded under the Call for Proposals is EUR 100 000 or less.

<sup>14</sup> Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.

<sup>15</sup> Only applicable in centralised calls where PADOR is made of use