



**Contracting Authority: European Union**

**Restricted Call for Proposals 2012  
for Civil Society Organisations in Development**

**Improving access to information of public schemes  
in backward districts in India**

**Guidelines for grant applicants**

Budget line 21.03.01

Reference: EuropeAid/133516/L/ACT/IN

Deadline for submission of concept notes: 15 January 2013

## **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 European Union, the signed "Declaration by the Applicant" sent together with the Concept Note and the second "Declaration by the Applicant" sent together with the Full Application.

All Internet links in the present document are valid at the time of publication of this Call for Proposals. Nevertheless, they may be subject to changes at a later stage.

## **SUSPENSIVE CLAUSE**

The conclusion of grant contracts for actions selected under this Call for Proposals is subject to the adoption of the relevant financing decision, i.e. the adoption of the Annual Action Programme.

The adoption of the above-mentioned programme does not depend only on the European Commission. If the above-mentioned programme is substantially modified and/or does not provide adequate coverage for the proposed action or is not adopted, the present Call for Proposals or some of its allocations may be cancelled and/or replaced by other Calls for Proposals adapted to the finally approved Annual Action Programme for 2013.

## Table of contents

<b>1. PROGRAMME: NON STATE ACTORS AND LOCAL AUTHORITIES IN DEVELOPMENT</b>	<b>4</b>
1.1 Background.....	4
1.2 Objectives of this Call for Proposals and priority issues .....	6
1.3 Financial allocation provided by the contracting authority .....	9
<b>2. RULES FOR THIS CALL FOR PROPOSALS</b>	<b>10</b>
2.1 Eligibility criteria.....	10
2.1.1 Eligibility of applicants: who may apply? .....	10
2.1.2 Partnerships and eligibility of partners .....	11
2.1.3 Eligible actions: actions for which an application may be made .....	11
2.1.4 Eligibility of costs: costs which may be taken into consideration for the grant.....	13
2.2 how to apply and the procedures to follow .....	14
2.2.1 Concept Note content.....	14
2.2.2 Where and how to send concept notes .....	15
2.2.3 Deadline for submission of the Concept Notes.....	16
2.2.4 Further information for Concept Note .....	16
2.2.5 Full Application form .....	16
2.2.6 Where and how to send the Full Application form .....	17
2.2.7 Deadline for submission of the Full Application Form .....	17
2.2.8 Further information for the Full Application form .....	18
2.3 Evaluation and selection of applications.....	19
2.4 Submission of supporting documents for provisionally selected applications .....	22
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.....	25
2.7 Early warning system and central exclusion database.....	25
<b>3. LIST OF ANNEXES</b>	<b>27</b>

# 1. PROGRAMME: NON STATE ACTORS<sup>1</sup> AND LOCAL AUTHORITIES IN DEVELOPMENT

## 1.1 BACKGROUND

### EU LEGAL BASIS AND OBJECTIVES

The European Union (EU) has a long-standing relationship and cooperation with civil society organisations (CSOs) as well as with local and decentralised authorities in the field of development. This is part of the EU's commitment to fighting poverty, promoting the rule of law and adhering to fundamental freedoms set out in Article 21 of the Treaty on the European Union<sup>2</sup>.

Regulation (EC) n° 1905/2006<sup>3</sup> of the European Parliament and of the Council (OJ L 378, 27 December 2006), establishing a financing instrument for development cooperation, and more specifically its article 14 constitute the legal basis for the thematic programme "Non-State Actors and Local Authorities in Development".

The overarching objective of the programme is poverty reduction in the context of sustainable development, including the pursuit of the Millennium Development Goals and other internationally agreed targets. The specific objective of this "actor-oriented" programme is to support "own initiatives" of civil society organisations and strengthen their capacities to promote an inclusive and empowered society in partner countries, in close cooperation with local authorities, local communities and most vulnerable population groups.

The objective of the civil society actors' component of the programme is to support operations aiming at promoting an inclusive and empowered society in partner countries in order to:

- (i) benefit populations out of reach of mainstream services and resources and excluded from policy making processes;
- (ii) strengthen the capacity of civil society actors in partner countries, with a view to facilitating their participation in defining and implementing poverty reduction and sustainable development strategies; and
- (iii) facilitate interaction between State and civil society actors in different contexts.

In line with Regulation (EC) n° 1905/2006 thematic programmes must "add value to, be additional to and coherent with, actions funded under geographic programmes". In the case of India, "geographic programme" refers to bilateral funding agreed upon with the Government of India in the India Country Strategy Paper 2007-2013<sup>4</sup> which focuses on social sector programmes. The projects under this call must be coherent and complementary to the India bilateral programmes.

This Programme builds on important policies and processes: the Structured Dialogue<sup>5</sup>, the Agenda for Change<sup>6</sup> and the Busan Partnership for Effective Development Co-operation<sup>7</sup>. The Structured Dialogue is an ongoing consultative process by the European Commission which aims to improve the effectiveness of civil society organizations and local authorities involved in development cooperation. The Agenda for Change is

---

<sup>1</sup> Within these guidelines and therefore within the context of this call for proposals: (i) the term "Non State Actors" ("NSAs") is usually replaced by "Civil Society Organisations" (CSOs) or "Civil Society Actors"; (ii) the definition and list of NSAs provided in these Guidelines under section "2.1.1. Eligibility of applicants: who may apply?" applies to CSOs, without any exception.

<sup>2</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2008:115:0013:0045:EN:PDF>

<sup>3</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:378:0041:0071:EN:PDF>

See also the "Non-State Actors and Local Authorities in Development" Strategy Paper 2007–2010 at: [http://ec.europa.eu/europeaid/what/civil-society/documents/nsa\\_la\\_strategy\\_paper\\_2007\\_2010\\_en.pdf](http://ec.europa.eu/europeaid/what/civil-society/documents/nsa_la_strategy_paper_2007_2010_en.pdf)

<sup>4</sup> [http://ec.europa.eu/external\\_relations/india/csp/07\\_13\\_en.pdf](http://ec.europa.eu/external_relations/india/csp/07_13_en.pdf)

<sup>5</sup> [http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue\\_en.htm](http://ec.europa.eu/europeaid/who/partners/civil-society/structured-dialogue_en.htm)

<sup>6</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2011:0637:FIN:EN:PDF>

<sup>7</sup> <http://www.aideffectiveness.org/busanhlf4/en/about/busan-partnership.html>

the new EU Development Policy. It aims at increasing the impact of EU aid, within a poverty reduction and sustainable development framework, and in line with EU fundamental values of democracy, human rights, good governance and the rule of law. It calls in particular for working more closely with the private sector, foundations, civil society and local and regional authorities as their role in development grows. As for the Busan Declaration, it focuses particularly on increased transparency and accountability, again based on more effective collaborations among public, private and not-for profit actors.

EuropeAid's operational guidelines "Engaging Non State Actors in New Aid Modalities: for better development outcomes and governance"<sup>8</sup> provide detailed guidance on ways to engage more effectively with civil society organisations in pursuing development objectives. More recently, an EU Communication on "Europe's engagement with Civil Society in external relations"<sup>9</sup> summarizes core roles, issues and approaches, with a focus on country level processes.

## INDIAN CONTEXT

Poverty in India is a particularly complex, multidimensional phenomenon. Certain social classes, social groups and geographical areas have traditionally experienced disproportionate levels of poverty, social exclusion and inequity. Even individuals within families or families within communities face increased risk of poverty or exclusion owing to certain variables such as gender, age, marital status, caste, ability/disability, location, religion, cultural and ethnic background, etc. Despite impressive national economic growth in recent years, poverty has not significantly declined yet, especially in most backward regions.

The Government of India is committed to reducing poverty and has been promoting "inclusive growth" through the recent 5-year plans of the Planning Commission. The Eleventh Five Year Plan (2007-2012)<sup>10</sup> emphasized the need for significant improvement in the quality of governance to achieve inclusive growth, reduce poverty, and bridge the many divides that fragment Indian society. It also acknowledged that "civil society organisations have gained strength and are trying new experiments to reach the unreached, often in partnership with PRIs<sup>11</sup>".

The Approach Paper<sup>12</sup> of the Twelfth Five Year Plan (2013-2017)<sup>13</sup> acknowledges a "greater desire [among citizens] to access information about the rights and entitlements made available by law and policy, and eagerness to demand accountability from the public delivery systems augurs well for the future". It also reveals a "growing concern about the backwardness of individual districts [within] economically-weaker states catching up in growth rates". It also acknowledges that "ensuing better implementation and improved accountability... required much greater attention" and that "governance can be improved through... deeper partnerships with civil society organisations and the community to determine the needs and aspirations of the people".

Within the framework of the Planning Commission's Five Year Plans, the Government of India has developed a wide range of Centrally Sponsored Schemes (CSS) to address poverty reduction and social inclusiveness. The total allocation of these programmes was budgeted at INR 40,490 crore for 2010-11 according to the Mid-Term Appraisal (MTA)<sup>14</sup> of the Eleventh Five Year Plan. The MTA report emphasizes the need for the accounting and audit systems of CSS to be strengthened and equally calls for improving the quality of citizen-centric governance.

Other initiatives are being implemented across India to make government services more accessible to all citizens like, for instance, the Common Service Centres (CSC)<sup>15</sup>, e-governance<sup>16</sup>, the Unique Identification Number system (UIDAI<sup>17</sup>) or the Right to Information Act (RTI)<sup>18</sup>. Thus, a range of government schemes,

---

<sup>8</sup> [http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/254a\\_en.pdf](http://ec.europa.eu/europeaid/infopoint/publications/europeaid/documents/254a_en.pdf)

<sup>9</sup> <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2012:0492:FIN:EN:PDF>

<sup>10</sup> <http://planningcommission.nic.in/plans/planrel/fiveyr/welcome.html>

<sup>11</sup> Panchayati Raj Institutions (rural local administration)

<sup>12</sup> <http://planningcommission.nic.in/plans/planrel/12appdrft/12appdrft.htm>

<sup>13</sup> At the time of finalising these guidelines, the Twelfth Five Year Plan was yet to be approved.

<sup>14</sup> [http://planningcommission.nic.in/plans/mta/11th\\_mta/MTA.html](http://planningcommission.nic.in/plans/mta/11th_mta/MTA.html)

<sup>15</sup> <http://www.csc-india.org/>

<sup>16</sup> <http://www.indg.in/e-governance/>

<sup>17</sup> <http://uidai.gov.in/>

services, initiatives and models exist and can be strengthened at local level to promote concrete improvement of living conditions of poorest households. For instance, some of these schemes should help improve financial inclusion, specifically in rural areas, where 51% of farmer households are outside the credit network and access to banking facilities extends to only one quarter of farm population.

## **1.2 OBJECTIVES OF THIS CALL FOR PROPOSALS AND PRIORITY ISSUES**

The **global objective** of this Call for Proposals is to increase and improve the access, delivery and quality of public services aimed at reducing poverty and social exclusion.

In particular, this means ensuring access to quality public services pertaining to basic rights and entitlements like civil registration, health, education, housing, water, sanitation, employment, income generating and savings schemes, food security, nutrition, energy, natural resources and other social protection schemes.

The **specific objective** of this Call for Proposals is to help local authorities and service providers increase and improve access to information of public schemes and initiatives, in backward districts, down to the village level, throughout the planning, budgeting, implementation, control and evaluation continuum.

In particular, this means ensuring that information is communicated to poor, marginalised and often illiterate populations at the right time and in ways which are meaningful and useful to them.

**Priority issues** are presented hereafter.

### **MULTI-SECTORAL, MULTI-STAKEHOLDER INTERVENTIONS**

In line with the India Country Strategy Paper 2007-2013, actions should address at least the health and education sectors. However, actions should not be limited to these two sectors but address, more broadly, multiple needs and rights of individuals, households and communities in geographical areas of greatest need. This calls for a multi-dimensional, multi-sectoral approach hence the need to work in partnership with a variety of actors at different levels, in different sectors and on different issues. Strategic participation of final beneficiaries, target groups and partners in improving governance, delivery, transparency and accountability of government schemes from district to village level will be critical.

The logic behind the multi-sectoral approach is that, as interventions get closer to people, right down at the community level, the poor and marginalised people's needs, and rights, do not get restricted to a tight one- or two-sector intervention, just the same way as a local authority cannot provide just one or two types of services. The choice of sectors where projects can have strongest impact should be decided based on an analysis of people's expressed needs, local authorities' requests and requirements and the state of various public service providers, including an analysis of the performance and transparency of information of the services they deliver.

The logic behind the multi-stakeholder approach is that, as actions target several sectors, they will need to engage with various partners, associates and other stakeholders who bring in their own expertise, networks, influence and capacity to help ensure the right people access services they need.

### **LOCAL GOVERNANCE**

Each project should ensure active and meaningful involvement of the local implementing partners and work closely with local authorities. In line with the Constitution (73rd Amendment) Act of 1992, the Panchayati Raj Institutions (PRIs) at the Village, Intermediate and the District levels as well as Municipalities constitute the backbone of local governance and any action must relate to their functions and involve them actively.

Within the frame of this call for proposals, working along with local governance institutions to help improve the access, quality and information dissemination of central and state sponsored schemes at district, block and village or ward level is mandatory.

### **GOOD GOVERNANCE, TRANSPARENCY AND ACCOUNTABILITY**

The most backward regions in India are least developed for a broad range of reasons, one of which is poor governance. In these areas the poor and marginalised populations are largely excluded from the process of decision-making. The current call is aimed at fighting poverty by improving governance of public schemes

---

<sup>18</sup> <http://righttoinformation.gov.in/>

and services at district and below district so that the most vulnerable and marginalised can participate meaningfully and benefit from the overall decision making process and the services per se.

This call also specially aims at improving the access to, quality and dissemination of information of public schemes, services and initiatives relevant to poor and marginalised populations. This involves the whole cycle of information sharing from policy making to planning, budgeting, spending, implementing, monitoring, evaluating, auditing and results dissemination. The action of the projects should therefore help improve the transparency and accountability of public schemes and services at district and below district levels, down to village/ward level.

#### **RESULTS MANAGEMENT, COMMUNICATION AND DISSEMINATION**

With regard to public service delivery, it will be key to monitor, report and communicate progress relating to equitable coverage, quality, information clarity and dissemination, both about budget allocation and actual services, or schemes. Client satisfaction surveys –provided they are performed rigorously- could be a useful tool to assess service quality.

Outcome and impact assessment should be addressed using both quantitative and qualitative methodologies, keeping in mind that direct impact of a project intervention is usually very difficult to ascertain. Tracking progress relating to multidimensional poverty, human development and gender empowerment are critical.

Using government data and supporting government information management systems is fundamental. Three critical elements should be specifically considered: (i) help improve access to basic information relating to various government schemes and services in formats and ways which can be understood by local communities; (ii) help improve the quality, analysis and dissemination of information relating to results and performance of the same public schemes and services; and (iii) help improve the coherence, consistency and quality of results-oriented information management systems from village (or lowest point of service delivery) to block to district levels.

#### **CROSS-CUTTING THEMES**

The priority cross-cutting theme of this call is **gender**. Fighting gender-based discrimination among poorest of the poor and vis-à-vis the other groups in the community is a non negotiable. Though focused on improving access to and quality of information of public schemes, proposals should nonetheless promote strategically gender equality and the (multi-dimensional) empowerment of women and girls. Such strategies should be tracked and measured through the production and dissemination of quality gender-disaggregated data to demonstrate progress or, when no progress has been achieved, recurrent challenges and bottlenecks.

Additional cross-cutting issues contributing to the achievement of the global objective of poverty reduction and social exclusion are: promotion of human rights, democracy, the rights of children and indigenous peoples' rights, disability, environmental sustainability and combating HIV/AIDS. Wherever relevant, actions have to clearly demonstrate how these issues have been and will be taken into account in their design, implementation and monitoring. At the same time, principles such as empowerment, participation, non-discrimination of vulnerable groups and accountability must also be adequately taken into account.

#### **KEY INTERVENTIONS AND ACTIONS**

Interventions should be related to any basic socio-economic, social protection or sustainable development service or scheme which the poorest of the poor and other marginalised or socially excluded populations are entitled to. Essentially, interventions should be geared to:

- Ensuring or increasing **access** to public services, be they central or state government schemes or entitlements, and be they run by government, private or not-for-profit organisations;
- Ensuring or improving **quality** of public service delivery;
- Enhancing the **transparency** of information and **accountability** of public schemes and services relating to budget allocation, actual expenditure and service delivery;
- **Demonstrating** that increased and improved quality of public services **make a difference** to people's lives, or fail to do so, in particular for women and girls.

The types of interventions and actions proposed are the following ones (not restrictive):

- **Awareness raising** (e.g. raise people's awareness on the existence of and entitlement to specific public schemes, services or initiatives. This involves, but is not limited to, initiatives like: e-governance, right to information act (RTI), unique ID number system, Common Services Centres (CSC) scheme, mobile governance)
- **Social mobilisation** (e.g. facilitate the meaningful engagement of poor and marginalised communities into village, block and district planning and budgeting as well as expenditure and programme reviews)
- **Improving transparency and accountability** (e.g. working with local authorities and service providers to improve the access to and quality of information relating to public services down to the village/ward level; support the improvement of data analysis, data use and feed back to concerned stakeholders and audiences; develop systems of downward, horizontal, mutual and upward accountability; help integrate relevant private and civil society data into public schemes data management systems)
- **Progress tracking** (e.g. act collectively on locally relevant recommendations of Joint Review Mission Reports or other public schemes' official evaluation reports; track, report and/or support the dissemination of progress towards the reduction of various dimensions of poverty at district and below district level, in particular with regard to women and girls)
- **Operational research** (e.g. study and disseminate key findings about district and below district level information on budget formulation, budget allocation, actual expenditure and public scheme performance; study, analyse and disseminate information about change in poverty status over time primarily at individual, household and village levels, keeping in mind people's needs, aspirations and capabilities and gender differences)
- **Advocacy** (e.g. advocate for service provision when and where unavailable, based on available official data and other reliable sources of information; developing locally relevant advocacy strategies)

#### **GEOGRAPHICAL LOCATIONS AND POPULATION GROUPS**

In terms of geographical focus, this Call for Proposals uses the list of Backward Districts of the Backward Regions Grants Fund (BRGF) published on the website of the Ministry of Panchayati Raj, Government of India<sup>19</sup>. Actions can take place in any of the districts on the list. It can focus on one single district, a cluster of districts within one state, or several districts in several states. There is no State restriction.

Proposals should define how the poorest of the poor, most marginalised or socially excluded populations will benefit from the action. Projects which build on previous experiences in the targeted districts should also demonstrate whether the targeted beneficiaries and population groups have previously been accessing specific public schemes and services, and to what extent they have benefitted from these schemes, if at all.

#### **LOCAL INITIATIVE, PARTNERSHIPS AND INDIAN LEGISLATION**

Actions should be based on an initiative or a set of initiatives of local partners and should ensure their involvement during all stages of the implementation of the action. Actions proposed by organisations originating from the European Union must be based on an established and effective partnership with local organisations in India, be they civil society organisations or local authorities. Partnerships are compulsory and in order to maximise the contribution of both the main applicant and partner/s, a clear description of each organisation's role, contribution to the project implementation and added value is requested.

All Indian civil society organisations –whether main applicant or partner- must comply with the Indian legislation for civil society non-profit organisations, as well as registration under the Foreign Contribution (Regulation) Act 2010.

In case the main applicant is an Indian organisation with one or several partner(s) based outside India, the applicant needs to ensure that it can transfer funds from India to this/these partner(s), as per Indian legislation.

---

<sup>19</sup> List of BRGF Districts 2012-2013: <http://164.100.9.120/brgf/Report.do?method=BRGFdistrict>



### **I.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY**

The overall indicative amount made available under this Call for Proposals is EUR 10,000,000. It results from pooling the Non-State Actors (NSA) budgets for the years 2012 and 2013:

NSA 2012: EUR 5,000,000

NSA 2013: EUR 5,000,000 (Decision pending approval in 2013)

Contracts will be awarded based on the ranking of their scores and within the available financial envelopes for 2012 and 2013. (*See also point 2.3 (2)*)

The award of the contracts for those whose scores fall within the 2013 envelope is therefore subject to the adoption of the relevant Financing Decision by the European Commission (decision of the Budgetary Authority and the subsequent approval of the 2013 Annual Action Plan "Non-State Actors and Local Authorities in Development" in the first quarter of 2013).

The NSA budget of 2013 of EUR 5,000,000 will be cancelled if the Financing Decision is not adopted.

The European Union reserves the right not to award all available funds. Similarly, these amounts could be increased should more funds become available.

Where the financial envelopes indicated above cannot be used due to insufficient quality or number of proposals received, the European Union reserves the right to reallocate the remaining funds to another geographic area or to fund other components of the thematic programme "Non-State Actors and Local Authorities in Development".

#### Size of grants

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

- minimum amount: EUR 300,000
- maximum amount: EUR 1,000,000

A grant may not be for less than **50%** of the total eligible costs of the action.

For proposals submitted by civil society organisations from India the grant may not exceed **90%** of the total eligible costs of the action; for proposals submitted by European civil society organisations, the grant may not exceed **75%** of the total eligible costs of the actions (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 EU) must be financed from the applicant's or partners' own resources, or from sources other than the European Union budget.

## 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 **and**
- be non profit making **and**
- be established in <sup>20</sup> a Member State of the European Union or in India **and**
- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary **and**
- be Non-State Actors<sup>21</sup> constituted in accordance with the legislation in force in the country concerned.
- be registered for at least five years at the time of the submission of an application **and**
- be able to demonstrate that they have regularly carried out activities in the field of development of the kind covered by this programme at least during the last three years at the time of the submission of an application **and**
- be able to demonstrate application of accountability and transparency measures within the organisation itself.<sup>22</sup>

(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)).

---

<sup>20</sup> To be determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the national law of the country concerned. 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>21</sup> Non-State Actors include: non governmental organisations, organisations representing indigenous peoples, organisations representing national and/or ethnic minorities, local traders' associations and citizens' groups, cooperatives, trade unions, organisations representing economic and social interests, organisations fighting corruption and fraud and promoting good governance, civil rights organisations and organisations combating discrimination, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, teaching, cultural, research and scientific organisations, universities, churches and religious associations and communities, the media and any non governmental associations and independent foundations, including independent political foundations.

<sup>22</sup> An organisational policy on good governance, transparency and/or related accountability must be provided as an annex to the full proposal, for the applicant and each partner.

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 those situations.

### 2.1.2 Partnerships and eligibility of partners

#### **Partnerships:**

All applicants must act with partner organisation(s), who may be NSA and/or LA.

For actions presented by NSA from a Member State of the European Union, a partnership with a local organisation is obligatory. Actions must be based on an initiative of local partner(s) in India and should ensure their involvement during all the stages of the action implementation (design, implementation, monitoring, evaluation). Applicants must demonstrate an established and effective partnership with the local organisation(s).

Apart from these requirements, more than one European partner (NSA) may participate in any given action.

Equally, more than one Indian partner organisation (NSA or LA) may participate in any given action.

#### **Eligibility of 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. NSA partners must satisfy the same eligibility criteria as NSA applicants<sup>23</sup>. Local Authorities (or associations of Local Authorities) from a Member State of the European Union or India can act as partners. They should officially be registered as such, according to the legislation in force in their respective country.

International organisations are not eligible.

#### **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 (see annex F).

- Sub-grantees

The grant beneficiaries may award financial support (sub-grants) to third entities (the sub-grantees). Sub-grantees are neither partners nor contractors. Sub-grantees are subject to the nationality and origin 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

<sup>23</sup> Exceptionally and when duly justified, entities based in the partner country concerned which do not have legal personality under the applicable national law may be considered eligible to participate in the Action as partner organisation, provided that the representatives of these entities have the capacity to undertake legal obligations on their behalf and assume financial liability.

#### Definition:

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

#### Types of activities

See "Key interventions and actions" in section 1.2 of the present Guidelines (Objectives and priority issues of this Call for Proposals).

#### Duration:

The initial planned duration of an action may not be lower than 48 nor exceed 60 months.

#### Location:

Actions must take place in India.

#### Sectors or themes:

See section 1.2 of the present Guidelines (Objectives and priority issues of this Call for Proposals).

#### Monitoring and Evaluation:

Applications should include appropriate measures and resources for monitoring and evaluating the proposed action. Though evaluations may be conducted by external agencies, final beneficiaries and target groups should be actively involved in the process.

#### Sub-granting

In order to **support the achievement of the objectives of the Action**, and in particular where the **implementation of the Action proposed by the Applicant requires financial support to be given to third parties**, the Applicant **may** propose awarding sub-grants. However, sub-granting may not be the main purpose of the Action and it must be duly justified.

In case where the Applicant foresees to award sub-grants, it has to specify in its application the total amount of the grant which may be used for awarding sub-grants as well as the minimum and maximum amount per sub-grant a list with the types of activity which may be eligible for sub-grants must be included in the application, together with the criteria for the selection of the beneficiaries of these sub-grants. The maximum amount of a sub-grant is limited to EUR 10.000 per third party while the total amount which can be awarded as sub-grants to third parties is limited to EUR 100.000.

Note that 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, applications should include a communication and visibility plan, both in the Full Application and the budget.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences, congresses;
- one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the life-time of the action. For these purposes, preparatory activities for a conference and the publication of the proceedings of the conference do not, in themselves, constitute such "wider activities";
- actions concerned only or mainly with individual scholarships for studies or training courses;

- actions which consist exclusively or primarily in capital expenditure, e.g. land, buildings, equipment and vehicles, except in special circumstances;
- actions which discriminate against individuals or groups of people on grounds of their gender, sexual orientation, religious beliefs or lack of them, or their ethnic origin;
- actions supporting political parties;
- actions which include proselytizing.

#### Number of applications and grants per applicant

Under this Call for Proposals an applicant may not submit more than one application and may therefore be awarded only one grant.

Partners may take part in more than one application and may therefore participate in more than one grant under this Call for Proposals.

#### 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 therefore 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 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 respect the provisions of article 14 of the General Conditions to the Standard Grant Contract (see Annex G of the Guidelines).

Note that taxes, including VAT will only be accepted as eligible costs when the Beneficiary (or, where applicable, its partners) can show it cannot reclaim them. Taxes shall in such case be included in the Budget of the Action under each heading. Information on taxes can be found in Annex J to these Guidelines.

#### Contingency reserve

A contingency reserve not exceeding 5% of the 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 budget no indirect costs may be claimed within the proposed budget for the actions.

#### 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<sup>24</sup>, at the latest by the end of the action;
- currency exchange losses;
- 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.

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.

### **Phase 1, The concept note**

Registration in PADOR (Potential Applicant Data On-Line Registration)<sup>25</sup> is obligatory for the applicants of grants.

### **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>26</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 in the Grant Application Form annexed to these Guidelines (Annex A, Part A) taking care to use the correct application documents for this Call (to be downloaded from the EuropeAid website at

<sup>24</sup> For Actions presented by NSA from a partner country and if duly justified, this obligation can be waived.

<sup>25</sup> [http://ec.europa.eu/europeaid/work/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm)

<sup>26</sup> Which corresponds to Sections 3 and 4 of Part B of the application form.

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>. Any Concept Note using the format relating to any other Call may be rejected.

Concept Notes must be submitted 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 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 in A4 size, 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.

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the applicant, and the words "Not to be opened before the opening session".

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

Delegation of the European Union to India  
Finance, Contracts and Audit Section  
65 Golf Links  
110003 New Delhi, India

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

Delegation of the European Union to India  
Finance, Contracts and Audit Section  
65 Golf Links  
110003 New Delhi, India

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*

The deadline for the submission of Concept Notes is **15.01.2013** (date at place of dispatch) as evidenced by the postmark or the date of the deposit slip. In case of hand-deliveries, the deadline for receipt is **15.01.2013 at 16:00 hours** (New Delhi date and time), as evidenced by the Contracting Authority's signed and dated acknowledgement of receipt.

Any Concept Note sent after the deadline or, in case of hand-deliveries, received after the stipulated time will automatically be rejected.

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

Any Concept Note received by the Contracting Authority on or after the effective date of completion of the evaluation of the Concept Notes will be treated as having been submitted after the deadline and, therefore, rejected.

### 2.2.4 *Further information for Concept Note*

Questions concerning this Call for Proposals (except those related to registration in PADOR) may be sent by e-mail **by 03.12.2012** to the below address, indicating clearly the reference of the Call for Proposals:

E-mail address: [DELEGATION-INDIA-CSO@eeas.europa.eu](mailto:DELEGATION-INDIA-CSO@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 or 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:

##### Postal address

Delegation of the European Union to India  
Finance, Contracts and Audit Section  
65 Golf Links  
110003 New Delhi, India

##### Address for hand delivery and for delivery by courier service

Delegation of the European Union to India  
Finance, Contracts and Audit Section  
65 Golf Links  
110003 New Delhi, India

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 in A4 size, bound. The full application form (in Word version), budget (in Excel version) and logical framework (in Excel version) 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.

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".

**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-INDIA-CSO@eeas.europa.eu](mailto:DELEGATION-INDIA-CSO@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 Full Application Forms.

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.

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)

## 2.3 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 rejected.
- 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>		Sub-score	<b>30</b>
1.1	How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**	
1.2	How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal? (including synergy with other EU initiatives and avoidance of duplication)	5x2*	
1.3	How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?	5	
1.4	Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices?	5	
<b>2. Design of the action</b>		Sub-score	<b>20</b>
2.1	How coherent is the overall design of the action?  In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**	
2.2	Is the action feasible and consistent in relation to the objectives and expected results?	5x2**	
<b>TOTAL SCORE</b>			<b>50</b>

\*\* 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 **at least twice** 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 knowledge of the issues to be addressed.)	5
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 ( <i>what will be the structural impact of the action — e.g. will it lead to</i>	5

<i>improved legislation, codes of conduct, methods, etc?)</i> - environmentally (if applicable) <i>(will the action have a negative/positive environmental impact?)</i>	
<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:

Supporting documents must be provided through PADOR, see Section 2.2.

##### **Required supporting documents<sup>27</sup> for APPLICANTS**

1. The statutes or articles of association of the applicant organisation<sup>28</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>29</sup>

<sup>27</sup> For actions in the field of microfinance, the supporting documents must demonstrate that the applicant and/or the partner organisation(s) fulfil the required additional eligibility criteria and conditions as set out in annex H attached to these Guidelines for grant applicants.

<sup>28</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>29</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

2. Where the grant requested exceeds EUR 500 000, 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 public bodies.

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>30</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.

This bank account must yield interest or equivalent benefits. If the costs for opening and/or maintaining such an account equals or exceeds the expected interest, applicants may be exempted from this obligation by submitting a declaration of honour to this fact.

6. Other supporting documents required:

6.1. The most recent annual activity report

6.2. **Foreign Contribution Regulation Act (FCRA)** Registration for Indian based organisations only.

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.

### **Required supporting documents for PARTNER ORGANISATIONS**

1. The statutes or articles of association of each partner organisation<sup>31</sup>. Where the Contracting Authority has recognized the partner'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>32</sup>
2. Where the grant requested exceeds EUR 500 000, 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 public bodies.
3. Copy of the partner'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>33</sup>.

---

<sup>30</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.

<sup>31</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>32</sup> To be inserted only where the eligibility conditions have not changed from one call for proposals to the other.

<sup>33</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.

#### 4. Other supporting documents required:

##### 4.1. The most recent annual activity report

##### 4.2. **Foreign Contribution Regulation Act (FCRA) Registration for Indian based organisations only.**

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.

#### Requirements for all supporting documents:

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

Where such documents are not in one of the official languages of the European Union, a translation into the language of the Call for Proposals (see Section 2.2.1) of the relevant parts of these documents, proving the applicant's and partner's/(s') eligibility, must be uploaded into PADOR in the same electronic file as the original language version (or, in the case of derogation from PADOR registration having been requested, be sent with the supporting documents) and will prevail for the purpose of analysing the proposal.

Where these documents are in an official language of the European Union other than the languages of the Call for Proposals, 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 and partner's (s') eligibility, into the language of the Call for Proposals. Where such translation is provided, it must be uploaded into PADOR in the same electronic file as the original language version (or, in the case of derogation from PADOR registration having been requested, be sent with the supporting documents).

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*

	<b>DATE</b>	<b>TIME**</b>
<b>Publication of the Call for Proposals</b>	31/10/2012	-
<b>Deadline for request for any clarifications from the Contracting Authority</b>	03/12/2012	-
<b>Last date on which clarifications are issued by the Contracting Authority</b>	04/01/2013	-
<b>Deadline for submission of Concept Notes</b>	15/01/2013	16h00
<b>Information to applicants on the opening &amp; administrative checks and concept note evaluation</b>	15/02/2013*	-



<b>(step 1)</b>		
<b>Invitations for submission of Full Application</b>	15/02/2013*	-
<b>Deadline for submission of Full Application Form</b>	30/04/2013*	16h00
<b>Information to applicants on the evaluation of the Full Application Form (step 2)</b>	31/05/2013*	-
<b>Notification of award (after the eligibility check) (step 3)</b>	15/06/2013*	-
<b>Contract signature</b>	September 2013*	-

\* Indicative date

\*\* India time

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). Applicant should be aware that the current revision of COUNCIL REGULATION No 1605/2002 of 25 June 2002 on the "Financial Regulation applicable to the general budget of the European Communities" (OJ L 248, 16.9.2002, p.1., herein after the "Financial Regulation") will impose certain changes to the Contracting Authority's standard grant contract, notably - but not limited to - with regard to interests on pre-financing and on the deadlines for payments owed by the Contracting Authority. Those changes should be considered, for the most part, more favourable to the Applicant.

By signing the Application form (Annex A of these Guidelines), the applicant declares being aware that the current version of the Contractual conditions laid down in the standard grant contract might be amended as a consequence of the revision of the Financial Regulation.

The final version of the standard grant contract will be available in November 2012 and will be made available on the following website at the following address:  
<http://ec.europa.eu/europeaid/prag/document.do?locale=en>".

### 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>34</sup>

ANNEX D: LEGAL ENTITY SHEET <sup>35</sup>

ANNEX E: FINANCIAL IDENTIFICATION FORM

ANNEX F: PADOR OFF-LINE FORM<sup>36</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 J: INFORMATION ON THE TAX REGIME APPLICABLE TO GRANT CONTRACTS SIGNED UNDER THE CALL.

ANNEX K: LIST OF BRGF DISTRICTS 2012-2013, MINISTRY OF PANCHAYATI RAJ, GOVERNMENT OF INDIA

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)

---

<sup>34</sup> Optional where the total amount of the grants to be awarded under the Call for Proposals is EUR 100 000 or less.

<sup>35</sup> Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.

<sup>36</sup> Only applicable in centralised calls where PADOR is made of use

