



Contracting Authority: European Commission

Regional Facility for International Cooperation and Partnership

Guidelines for grant applicants

Budget line(s): 21.020100

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EuropeAid/150248/DH/ACT/LAC

Deadline for submission¹ of full application:
20/01/2016 at 16:00 (Brussels date and time)

¹ Online submission via PROSPECT is mandatory for this call for proposals (see section 2.2.2). In PROSPECT all dates and times are expressed in Brussels time. Applicants should note that the IT support is open Monday to Friday from 08:30 to 18:30 Brussels time (except for public holidays)

NOTICE

- This is an open call for proposals, where all documents are submitted together (concept note – Annex A.1 – and full application form – Annex A.2). In the first instance, only the concept notes will be evaluated. Thereafter, for the applicants who have been pre-selected, the full proposal will be evaluated. After the evaluation of the full proposals, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed ‘declaration by the lead applicant’ sent together with the application.
- This call for proposals is published in English, Spanish and Portuguese. In case of any inconsistency between the different language versions of the present guidelines, the English version shall prevail.
- The European Commission reserves the right to launch a second call for proposals should there be remaining funds at the end of the present procedure. Should it be the case, this second call will be launched tentatively in the first half of 2016.

Online submission via PROSPECT

To apply to this call for proposals, organisations must use the new electronic system (PROSPECT) developed by EuropeAid to facilitate the submission of applications (see section 2.2.2 of the guidelines). The aim of PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations through a new panel of functionalities such as the on-line submission and the possibility to follow up online the status of their application.

All organisations can find the PROSPECT users' manual on the EuropeAid website. You may also contact our technical support team via the online support form in PROSPECT².

² If PROSPECT is unavailable, the IT support can also be reached via email: EuropeAid-IT-support@ec.europa.eu

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1 REGIONAL FACILITY FOR INTERNATIONAL COOPERATION AND PARTNERSHIP

1.1 BACKGROUND

The positive economic growth in the last decades of the Latin America region, with half of the countries acquiring middle-income status, is leading to a redefinition of bi-regional EU-Latin America and Caribbean (LAC) relations. The EU has recognised this new international role of the LAC countries and is willing to offer a new mechanism of cooperation that is implemented in a systematic and predictable manner. In this way the EU will also answer the requests expressed by LAC countries³ to enter into a new policy framework of working jointly as partners in the region.

Despite the progress made in poverty reduction over the past years, the LAC region continues to face serious development challenges and the EU remains committed to work together with LAC countries to tackle these challenges by means of the Development Cooperation Instrument (DCI) financing. In this context, the EU has developed a new approach for engaging with the LAC countries to support joint activities in the less developed ones within the region.

The Commission intends to put in place a Facility for International Cooperation and Partnership to support EU-LAC joint activities with the overarching objective of poverty reduction. With the primary aim of better integrating the developing countries of the region and extending support to them in reaching their development goals, the EU and LAC will so address together, on an equal footing, key development challenges for the region, such as sustainable economic growth, strengthening democracy, governance and the rule of law and combating climate change.

The Facility will also make use of the valuable experience acquired over the last decades by many LAC countries through their participation in development cooperation activities with the support of international donors. Additionally, it will support peer learning actions to maximise the impact of the EU development cooperation in the LAC region.

The Facility will promote and support new forms of cooperation in the region, such as multilateral and South-South cooperation (SSC), with four main expected results:

- strengthen LAC national aid agencies and different public actors involved in the regional cooperation for development;
- leverage additional funds into development cooperation creating incentives for other LAC countries to engage in development activities with their neighbours;
- further promote regional integration by opening new space for regional dialogue on common issues and problems;
- maximise the impact and effectiveness of the development actions by bringing in systematically the knowledge and experience of recipient countries and from the EU in the LAC region.

Technical assistance to the beneficiaries of the grants awarded through this call for proposals will be provided with the objective to accompany them during the implementation of the actions and assisting them with training and capacity building on issues regarding international and development cooperation.

³ Antigua and Barbuda, Argentina, Bahamas, Barbados, Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominica, Dominican Republic, Ecuador, El Salvador, Grenada, Guatemala, Guyana, Haiti, Honduras, Jamaica, México, Nicaragua, Panama, Paraguay, Peru, St. Kitts and Nevis, St Lucia, St Vincent and the Grenadines, Suriname, Trinidad&Tobago, Uruguay and Venezuela.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of this call for proposals is to contribute to poverty alleviation in the LAC region.

The **operational objective** of this call for proposals is:

To support South-South and multilateral development cooperation actions⁴ in the LAC region, implemented by one or more LAC countries for the benefit of (an)other LAC country(ies).

Priority will be given to development cooperation actions involving national aid/development agency or governmental department, **at national level**, and which reflect a policy priority for the recipient country.

The actions to be supported through this call have to target poverty reduction in LAC, focusing on two priority areas:

1. **Human rights, democracy and other aspects of good governance**, for example: Support to democratisation, electoral processes, media freedom and access to internet, the rule of law and judicial systems; gender equality and the empowerment of women and girls; public-sector management for better service delivery and functioning of institutions, sound public financial management, fiscal policy and administration; accountability; strengthen links with civil society organisations; sustainable and transparent management of natural resources; peace-building and conflict prevention, etc.
2. **Inclusive and sustainable growth**:
 1. Social protection, health, education and vocational training, employment, migration etc.
 2. Business environment, regional integration and access to world markets, for example: jobs creation and facilitation of regional labour mobility; development of competitive local private sectors, support to SMEs and cooperatives, infrastructure planning etc.
 3. Sustainable agriculture and energy, for example: support sustainable agricultural practices, access to clean and sustainable energy services, climate change mitigation, etc.

Strategy to reach the operational objectives

The Facility will provide a new tool for the EU to cooperate with the LAC region to ensure that its economic and social growth is sustainable over time, guaranteeing the respect for human rights, democratic principles and environmental protection. The facility will also maximise the impact of the EU development cooperation aid and foster the EU-LAC bi-regional and intra-regional dialogue and agreement.

Public organisations of the LAC countries at national, regional or local level, may request an EU co-financing in the framework of this call. Through this facility, the LAC countries presenting a proposal will engage in the implementation of a development cooperation action in (an)other country(ies) in the region. The action to be co-financed must aim at poverty reduction, targeting one of the two priority areas as defined in the above paragraph.

This call for proposals is financed by the Development Cooperation Instrument⁵. As an exception, Caribbean Countries⁶ are eligible under this Call on the condition that at least the applicant or one co-applicant is emanating from a Latin American country⁷.

⁴ See section 2.1.4. *Eligible actions: actions for which an application may be made* for detailed information on what is understood as a development cooperation action.

The key actors of this Call are the governments and public institutions of the LAC countries. Their involvement in this programme will be twofold:

- LAC Governments and/or public institutions implementing the action submitted to this call in (an)other LAC country(ies). They will act as "**provider**" of development aid. The activities proposed in the action shall capitalize on the **expertise and knowledge** of the LAC "provider" country supporting the "learning from a peer" development process.
- LAC governments and/or public institutions of the country(ies) in which the action submitted to this call will be implemented. They will be the final beneficiaries of the action. They will be the "**recipient**" of development aid. The activities proposed in the action shall be demand-driven and based on the LAC "recipient" country needs and priorities, with a view of ensuring the ownership of the action by its final beneficiary.

Starting from a minimum consortium of two applicants (a lead applicant as provider of aid and a co-applicant as recipient of aid), different consortia of applicants can be built up⁸.

Besides the operational objectives mentioned above, special attention will be paid during the evaluation process to proposals which:

1. Ensure a broad geographical coverage (i.e. involving more than two LAC countries);
2. Define a strategy to promote and foster regional integration;
3. Have a clear mainstreaming of cross cutting issues to make them an integral dimension of the design, implementation, monitoring and evaluation of development policies and programmes;
4. Ensure coherence and complementarities with other EU funded projects.

1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is EUR 10 Million. The Contracting Authority reserves the right not to award all available funds.

Size of grants

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

- Minimum amount: EUR 150 000.
- Maximum amount: EUR 2 000 000.

Any grant requested under this Call for Proposals must not exceed the following maximum percentages of total eligible costs of the action:

Maximum percentage: 80% of the total eligible costs of the action (see also section 2.1.5).

⁵ (Regulation (EU) No 233/2014 of the European Parliament and of the Council of 11 March 2014 establishing a financing instrument for development cooperation for the period 2014-2020, OJ L 77, 15.03.2014

⁶ Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Dominican Republic, Grenada, Guyana, Haiti, Jamaica, St. Kitts and Nevis, St. Lucia, St. Vincent and the Grenadines, Surinam, Trinidad & Tobago.

⁷ Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, México, Nicaragua, Panamá, Paraguay, Peru, Uruguay, Venezuela.

⁸ See section 2.1.1 Eligibility of applicants.

Any grant requested under this call for proposals must further be limited to 75 % of the estimated total accepted costs⁹. In case that the total accepted costs are equal to the total eligible costs, the percentage applicable to the total accepted costs applies to the total eligible costs to ensure the required co-financing¹⁰.

Wherever in the call for proposals a reference to the percentage of eligible costs is made, the further limitation to the percentage applicable to the total accepted costs will apply. As a reminder, before sending your proposal please check that the requested contribution is equal or less than the maximum percentage of the estimated total accepted costs allowed.

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund¹¹.

2 RULES FOR THIS CALL FOR PROPOSALS

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

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

(1) the actors:

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

(2) the actions:

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

(3) the costs:

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

⁹ Estimated total accepted costs = estimated total eligible costs + in kind contributions, non-eligible taxes, etc.

¹⁰ If the applicant assumes the financing of the human resources required for the implementation of the action, these costs will be considered as financial contribution.

¹¹ 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.

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

Lead applicant

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

- be a legal person or an entity without legal personality **and**¹²
- be established in¹³ a Member State of the European Union, or in one of the eligible countries¹⁴ of the Development Co-operation Instrument (DCI) **and**
- be non-profit-making **and**
- be a specific type of organisation such as :
 - National Aid/Development agency or governmental department, at national level, in charge of international relations and/or development cooperation, **or**
 - Public law body or body governed by private law with a public service mission or local authority having received an endorsement from the National Aid/Development agency or governmental department referred to above of its home country,¹⁵ **and**
- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary

(2) Potential applicants may not participate in calls for proposals or be awarded grants if they are in any of the situations listed in section 2.3.3 of the Practical Guide;

In Annex A.2, section 5 ('declaration by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant must act with co-applicant(s) as specified hereafter.

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

12 Grant applications may be eligible if submitted by entities which do not have legal personality under the applicable national law, on the condition that the representatives of that applicant can prove that they have the capacity to undertake legal obligations on behalf of the applicant, and that they offer financial and operational guarantees equivalent to those provided by legal persons.

13 To be determined on the basis of the organisation's statutes that should demonstrate that it has been established by an instrument governed by the national law of the country concerned and that its head office is located in an eligible country. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if the statutes are registered locally or a 'Memorandum of Understanding' has been concluded.

¹⁴ For further information on the eligibility of the countries by instrument, please refer to Annex A2a of the Practical Guide available at the following address. <http://ec.europa.eu/europeaid/prag/annexes.do?group=A>

¹⁵ Detailed information about the endorsement is available in section 2.4 - Submission of supporting documents for provisionally selected applications.

Co-applicant(s)

In order to ensure ownership of the action, at least one recipient of aid¹⁶ must be co-applicant in the proposal.

Additionally, the following conditions must be respected:

- If the lead applicant is originating from a Latin American country, the 'recipient' co-applicant must be from a **different** Latin American country or from a Caribbean country.
- If the lead applicant is originating from a Caribbean country, the 'recipient' co-applicant must be from a Latin American country.
- If the lead applicant is originating from an EU Member State, there must be at least **two** co-applicants, one of which acting as 'provider' of aid and the other acting as recipient' of aid. Amongst those co-applicants, at least one must be from a Latin American country.

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

Co-applicants must satisfy the eligibility criteria as applicable to the lead applicant.

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

- international organisations as defined by article 43 of the Rules of application of the EU financial regulation¹⁷,

It is herewith confirmed that International organisations as defined above **cannot** be lead applicants of any proposal submitted in the framework of this Call for proposals.

Co-applicants must sign the mandate in Annex A.2., section 4.

2.1.2 *Affiliated entities*

Affiliated entity(ies)

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

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

¹⁶ For the purpose of this call for proposals, the terms 'provider' and 'recipient' of aid will be understood in line with the definition provided in Section 1.2, third paragraph, of the present document.

¹⁷ International organisations are international public-sector organisations set up by intergovernmental agreements as well as specialised agencies set up by them; the International Committee of the Red Cross (ICRC) and the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations.

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

This structural link encompasses mainly two notions:

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

Entities affiliated to applicant may hence be:

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

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

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

What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

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

Affiliated entity(ies) must satisfy the same eligibility criteria as the lead applicant and the co-applicant(s). They must sign the affiliated entity(ies) statement in Annex A.2., section 5.

2.1.3 Associates and Contractors

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

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Annex A.2., section 4 — ‘Associates participating in the action’.

- Contractors

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

2.1.4 Eligible actions: actions for which an application may be made

Definition

An action is composed of a set of activities.

Duration

The initial planned duration of an action may not be lower than 6 months nor exceed 48 months.

Sectors or themes

The actions to be supported through this call have to target poverty reduction in LAC countries, focusing on two priority areas:

- 1) Human rights, democracy and other aspects of good governance
- 2) Inclusive and sustainable growth. The idea is to help create growth in LAC countries – so low-income people have the means to lift themselves out of poverty. It will target:
 - Social protection, health, education and jobs creation, to make growth inclusive.
 - Business environment, regional integration and access to world markets.

- Sustainable agriculture and energy.

Location

Actions must take place in one or more of the LAC countries or EU Member States.

Actions in other locations will only be possible on a case-by-case basis subject to a prior authorisation from the European Commission.

Types of action

Any development cooperation action which aims to poverty reduction in LAC by pursuing one or more of the objectives described above, is eligible under this Call.

A development cooperation action is commonly defined as an activity or set of activities that aims explicitly to support national or international development priorities, is not driven by profit, and is based on cooperative relations that seek to enhance recipient country ownership.

The list of actions mentioned below is indicative and not exclusive, i.e. the proposals can include, but shall not be limited to the following:

- Support and reinforce democratisation and the rule of law.
- Promote the respect of human rights
- Reinforce the capacity of states to effectively ensure security conditions conducive for inclusive development.
- Reinforce the accountability and capacity of institutions and public administrations to provide high quality public services.
- Fight poverty through more inclusive and sustainable economic growth in LAC.
- Reduce poverty of most vulnerable populations by fostering environmentally sustainable development and improving the capacity to cope with climate change and disasters.

The following types of action are ineligible:

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

Types of activities

The list of activities mentioned below is indicative and not exclusive, i.e. the proposals can include, but shall not be limited to the following:

- Technical assistance and provision of expertise.
- Missions, studies, analysis, exchange visits, organisation of seminars.
- Infrastructure and provision of supplies and goods if necessary for the achievement of the results of the action.

Financial support to third parties¹⁸

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

The maximum amount of financial support per third party is EUR 60 000. Under this call, financial support to third parties may not be the main purpose of the action.

In compliance with the present guidelines and notably of any conditions or restrictions in this section, the lead applicant should define mandatorily in section Annex A.2, section 2.1.1:

- (i) the objectives and results to be obtained with the financial support
- (ii) the different types of activities eligible for financial support, on the basis of a fixed list
- (iii) the types of persons or categories of persons which may receive financial support
- (iv) the criteria for selecting these entities and giving the financial support
- (v) the criteria for determining the exact amount of financial support for each third entity, and
- (vi) the maximum amount which may be given.

In all events, the mandatory conditions set above for giving financial support (points (i) to (vi)) have to be strictly defined in the grant contract as to avoid any exercise of discretion.]

Visibility

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

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

Number of applications and grants per applicants / affiliated entities

The lead applicant may submit more than one application(s) under this call for proposals.

The lead applicant may be awarded more than one grant(s) under this call for proposals.

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

A co-applicant/affiliated entity may submit more than one application(s) under this call for proposals.

A co-applicant/affiliated entity may be awarded more than one grant(s) under this call for proposals.

A co-applicant/affiliated entity may be the lead applicant or an affiliated entity in another application at the same time.

¹⁸ These third parties are neither affiliated entity(ies) nor associates nor contractors.

2.1.5 Eligibility of costs: costs that can be included

Only 'eligible costs' can be covered by a grant. The categories of costs that are eligible and non-eligible are indicated below. The budget is both a cost estimate and an overall ceiling for 'eligible costs'.

The reimbursement of eligible costs may be based on any or a combination of the following forms:

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

Simplified cost options may take the form of:

- **unit costs:** covering all or certain specific categories of eligible costs which are clearly identified in advance by reference to an amount per unit.
- **lump sums:** covering in global terms all or certain specific categories of eligible costs which are clearly identified in advance.
- **flat-rate financing:** covering specific categories of eligible costs which are clearly identified in advance by applying a percentage fixed ex ante.

The amounts or rates have to be based on estimates using objective data such as statistical data or any other objective means or with reference to certified or auditable historical data of the applicants or the affiliated entity(ies). The methods used to determine the amounts or rates of unit costs, lump sums or flat-rates must comply with the criteria established in Annex K, and especially ensure that the costs correspond fairly to the actual costs incurred by the beneficiary(ies) and affiliated entity(ies), are in line with their accounting practices, no profit is made and the costs are not already covered by other sources of funding (no double funding). Refer to Annex K for directions and a checklist of controls to assess the minimum necessary conditions that provide reasonable assurance for the acceptance of the proposed amounts.

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

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount¹⁹
- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

¹⁹ Examples:- for staff costs: number of hours or days of work * hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km * pre-set cost of transport per km; number of days * daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event * pre-set total cost per participant etc.

At contracting phase, the Contracting Authority decides whether to accept the proposed amounts or rates on the basis of the provisional budget submitted by the applicants, by analysing factual data of grants carried out by the applicants or of similar actions and by performing checks established by Annex K.

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

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

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

Eligible direct costs

To be eligible under this call for proposals, costs must comply with the provisions of Article 14 of the General Conditions to the standard grant contract (see Annex G of the guidelines).

Salary costs of the personnel of national administrations may be eligible to the extent that they relate to the cost of activities which the relevant public authority would not carry out if the action were not undertaken. These costs, if assumed by the applicant, will be considered for the purpose of this call for proposals as financial contribution, thus **not as in-kind contributions**.

Contingency reserve

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

Eligible indirect costs

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

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

Contributions in kind

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

However, in the specific case of this call for proposals, the Contracting Authority may accept co-financing in kind, if considered necessary or appropriate, and in duly justified cases. In such cases, the value of such contributions must not exceed:

- a) either the costs actually borne and duly supported by accounting documents;
- b) or the costs generally accepted on the concerned market of reference.

Contributions involving real estate must be excluded from the calculation of the amount of co-financing. In kind contributions must comply with national tax and social security rules.

If co-financing in kind is proposed, it must be included in Annex B (Worksheet 3) to the guidelines for applicants on the expected sources of funding for the action. The same amount must be indicated the budget (worksheet 1)²⁰.

NB. Given the difficulty of evaluating contributions in kind, the Contracting Authority will only accept contributions in kind as co-financing in exceptional cases, subject to **prior evaluation of such contributions before the signature of the grant contract**²¹.

Ineligible costs

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- operating costs of the applicants that are not strictly linked to the implementation of the action;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred, in accordance with Article 7.5 of the General Conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- credit to third parties.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

To apply for this call for proposals, lead applicants need to:

- I. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory** for all lead applicants, co-applicant(s) and affiliated entity(ies).

PADOR is an on-line database in which organisations register and update information concerning their entity. Organisations registered in PADOR get a unique ID (EuropeAid ID), which they must mention in their application. PADOR is accessible via the website: http://ec.europa.eu/europeaid/pador_en.

- II. Provide information about the action in the documents listed under section 2.2.2. Online submission via **PROSPECT is obligatory** for this call.

It is strongly recommended to register in PADOR well in advance and not to wait until the last minute before the deadline to submit your application in PROSPECT.

²⁰ In regard of heading 12 – *Contributions in kind*

²¹ As indicated in section *Eligible direct costs* above, salary costs of the personnel of national administrations will be considered as financial contributions and not as in kind contributions.

If it is impossible for the organisation to register online in PADOR for technical reasons, applicants and/or affiliated entity(ies) must complete the ‘PADOR off-line form’²² attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see section 2.2.2.).

Before starting using PADOR and PROSPECT, please read the user guides available on the website. All technical questions related to the use of these systems should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu.

2.2.1 Application forms

Applications must be submitted in accordance with the instructions on the grant application form²³ annexed to these guidelines (Annexes A.1 and A.2). Applicants must apply in English, Spanish or Portuguese. Applicants must apply in the language most commonly used by the target population in the country in which the action takes place.

Any error or major discrepancy related to the concept note or any major inconsistency in the application form (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

2.2.2 Where and how to send applications

Online submission:

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

Upon submission of the application online, the lead applicant will receive an automatic confirmation of receipt in its PROSPECT profile.

If it is impossible for the organisation to submit its application online via PROSPECT for technical reasons, the applicant must send its application in a sealed envelope (Annex A.1: concept note and Annex A.2.: full application form), budget and logical framework. In particular, the lead applicant must send, in a sealed envelope as described below the following items:

a. One original signed copy of the complete application form (Annex A.1: concept note and Annex A.2: full application form), the budget and logical framework. The declaration by the lead applicant (Annex A.2., section 8 of the full form) must be stapled separately and enclosed in the envelope

b. 3 additional copies in A4 size, each bound.

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

The outer envelope must bear the **reference number and the title of the call for proposals**, together with the full name and address of the lead applicant, and the words ‘Not to be opened before the opening session’ translated in the local language, if different from English.

²² Which corresponds to sections 3 and 4 of Annex A.2.

²³ The grant application form consists of Annex A.1 – concept note – and Annex A.2 – full application form.

To reduce expense and waste, we strongly recommend that you do not use plastic folders or dividers. Please also use double-sided printing if possible.

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. Where a lead applicant sends several different applications (if allowed to do so by the guidelines of the call), each one has to be sent separately:

Postal address

European Commission
DG for International Cooperation and Development - EuropeAid
Attn. Mr. Jose IZARRA AGUADO
Head of Unit G3 J-54 05/022
Avenue du Bourget 1
B-1049 Brussels
Belgium

Address for hand delivery or by private courier service

European Commission
DG for International Cooperation and Development - EuropeAid
Attn. Mr. Jose IZARRA AGUADO
Head of Unit G3 J-54 05/022
Avenue du Bourget 1
B-1049 Brussels
Belgium

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

Please note that incomplete applications may be rejected. Lead applicants are advised to verify that their application is complete using the checklist (Annexes A.1 and A.2, Instructions).

2.2.3 *Deadline for submission of applications*

The deadline for the submission of applications is **20/01/2016 at 16:00** (Brussels date and time). **Lead applicants are strongly advised not to wait until the last day to submit their applications**, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The contacting authority cannot be held responsible for any delay due to such aforementioned difficulties.

In the exceptional case of submission by post or by hand-delivery (see section 2.2.2), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 4 PM Brussels time as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

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

2.2.4 *Further information about applications*

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

E-mail address: EuropeAid-LAC-FACILITY@ec.europa.eu

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

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

To ensure equal treatment of applicants, the Contracting Authority cannot give a prior opinion on the eligibility of lead applicants, co-applicants, affiliated entity(ies), an action or specific activities.

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the EuropeAid website: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome...> It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

All questions related to registration in PADOR or the online submission via PROSPECT should be addressed to the IT helpdesk at EuropeAid-IT-support@ec.europa.eu. Please note that the working languages of the IT support are English, French and Spanish. Therefore, users are invited to send their questions in those languages should they wish to benefit from an optimum response time.

2.3 EVALUATION AND SELECTION OF APPLICATIONS

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

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

STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the opening²⁴ and administrative check (including the eligibility check of the action), the following will be assessed:

- If the deadline has been met. Otherwise, the application will be automatically rejected.
- If the concept note satisfies all the criteria specified in the checklist in the instructions included in Annex A.1. This also includes an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

The concept notes will receive an overall score out of 50 in line with the evaluation grid below. The evaluation will also check the compliance with the instructions on how to complete the concept note (Annex A.1).

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

Evaluation Grid

Section	Maximum Score
1. Relevance of the action	30
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 [and the other additional elements indicated under 1.2. of these guidelines]?*	5
2. Design of the action	20
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**
Maximum total score	50

²⁴ Only where some applications have been submitted offline.

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

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

Concept notes with a score lower than 30 will be rejected

Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of 200% of the available budget for this call for proposals is reached.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2.2), had to submit their application by post or hand-delivery will receive the letter by e-mail or by post, if no e-mail address was provided.

The evaluation committee will then proceed with the lead applicants whose proposals have been pre-selected.

STEP 2: EVALUATION OF THE FULL APPLICATION

Firstly, the following will be assessed:

- If the full application form satisfies all the criteria specified in the checklist in Annex A.2. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

For the purpose of the evaluation of the financial capacity, lead applicants must ensure that the relevant information and documents in their PADOR profile are up to date. If the information and documents in PADOR are outdated and do not allow for a proper evaluation of the financial capacity, the application may be rejected.

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

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

Evaluation Grid²⁵

Section	Maximum Score
1. Financial and operational capacity	20
1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise (especially knowledge of the issues to be addressed)?	5
1.3. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient management capacity (including staff, equipment and ability to handle the budget for the	5

²⁵ Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8 of the Practical Guide.

action)?	
1.4. Does the lead applicant have stable and sufficient sources of finance?	5
2. Relevance of the action	30
Score transferred from the Concept Note evaluation	
3. Effectiveness and feasibility of the action	20
3.1. Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2. Is the action plan clear and feasible?	5
3.3. Does the proposal contain objectively verifiable indicators for the outcome of the action? Is any evaluation planned?	5
3.4. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?	5
4. Sustainability of the action	15
4.1. Is the action likely to have a tangible impact on its target groups?	5
4.2. Is the proposal likely to have multiplier effects (including scope for replication, extension and information sharing)?	5
4.3. Are the expected results of the proposed action sustainable?:(1) financially (2) institutionally (3) at policy level (where applicable) (4) environmentally	5
5. Budget and cost-effectiveness of the action	15
5.1. Are the activities appropriately reflected in the budget?	5
5.2. Is the ratio between the estimated costs and the expected results satisfactory?	10
Maximum total score	100

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

After the evaluation, applications will be ranked according to their score. The highest scoring applications will be provisionally selected until the available budget for this call for proposals is reached.

In addition, a reserve list will be drawn up following the same criteria. This list will be used if more funds become available during the validity period of the reserve list.

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

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

- The declaration by the lead applicant (Annex A.2, section 5) will be cross-checked with the supporting documents provided by the lead applicant. Any missing supporting document or any incoherence between the declaration by the lead applicant and the supporting documents may lead to the rejection of the application on that sole basis.
- The eligibility of applicants and the affiliated entity(ies) will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

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

2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

A lead applicant whose application has been provisionally selected or placed on the reserve list will be informed in writing by the Contracting Authority. It will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the lead applicant, (if any) of the co-applicant(s) and (if any) of their affiliated entity(ies)²⁶:

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant(s) and (if any) of each affiliated entity(ies)²⁷. Where the Contracting Authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the Special Conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime²⁸. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the lead applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s)).

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

3. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant(s), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
4. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached at Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.
5. An endorsement letter supporting the application and its coherence with the objective of this call for proposals. The endorsement must be signed by an authorised representative of the National Aid/Development agency or governmental department, at national level, in charge of international relations and/or development cooperation, of the country of the lead applicant.

This obligation does not apply if the National Aid/Development agency or governmental department is part of the proposal as co-applicant.

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

27 Where the lead applicant and/or a co-applicant(s) and or an affiliated entity(ies) is a public body created by a law, a copy of the said law must be provided.

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

6. Entities without legal personality must, to the extent possible, submit the documentation listed above. In addition, a letter must be provided by the legal representative certifying his/her capacity to undertake legal obligations on behalf of the entity.

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

Where such documents are not in one of the official languages of the European Union, a translation into one of the languages of the call for proposals of the relevant parts of these documents proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, must be attached for the purpose of analysing the application.

Where these documents are in an official language of the European Union other than one of 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 lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into one of the languages of the call for proposals.

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

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

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

2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

2.5.1 *Content of the decision*

The lead applicants will be informed in writing of the Contracting Authority's decision concerning their application and, if rejected, the reasons for the negative decision. This letter will be sent by e-mail and will appear online automatically in the PROSPECT profile of the user who submitted the application. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will be informed by e-mail or by post if they did not provide any e-mail address. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below.

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

2.5.2 Indicative timetable TO BE CONFIRMED

	DATE	TIME*
Information meeting (if any)	Not applicable	Not applicable
Deadline for requesting any clarifications from the Contracting Authority	30/12/2015	16:00
Last date on which clarifications are issued by the Contracting Authority	09/01/2016	-
Deadline for submission of applications	20/01/2016	16:00
Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)	22/02/2016	-
Information to lead applicants on the evaluation of the full application form (Step 2) ²⁹	21/03/2016	-
Notification of award (after the eligibility check) (Step 3)	31/03/2016	-
Contract signature ³⁰	30/04/2016	-

*Provisional date. All times are in local time.

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

2.6 CONDITIONS FOR IMPLEMENTATION AFTER THE CONTRACTING AUTHORITY'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the beneficiary(ies) will be offered a contract based on the standard grant contract (see Annex G of these guidelines). By signing the application form (Annexes A.1 and A.2 of these guidelines), the lead applicant agrees, if awarded a grant, to accept the contractual conditions of the standard grant contract. Where the Coordinator is an organisation whose pillars have been positively assessed, it will sign a PA Grant Agreement based on the PAGoDA template. In this case references to provisions of the standard grant contract and its annexes shall not apply. References in these guidelines to the Grant Contract shall be understood as references to the relevant provisions of the PA Grant Agreement.

29 Note that according to the financial regulation, in direct management, lead applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

30 Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

Implementation contracts

Where implementation of the action requires the beneficiary(ies) and its affiliated entity(ies) (if any) to award procurement contracts, those contracts must be awarded in accordance with Annex IV to the standard grant contract.

2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

The applicants and, if they are legal entities, the persons who have powers of representation, decision-making or control over them, are informed that, should they be in one of the situations mentioned in:

- Commission Decision of (2014/792/EU) of 13 November 2014 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ, L 329, 14.11.2014, p.69) or
- Commission Regulation of 17.12.2008 on the Central Exclusion Database (CED) (OJ L344, 20.12.2008, p.12),

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

3 LIST OF ANNEXES

DOCUMENTS TO BE COMPLETED

Annex A: Grant Application Form (Word format)

Annex B: Budget (Excel format)

Annex C: Logical Framework (Word format)³¹

Annex D: Legal Entity Sheet³²

Annex E: Financial identification form

Annex F: PADOR offline Form³³³⁴

DOCUMENTS FOR INFORMATION

Annex G: Standard Grant Contract

- Annex II: General conditions
- Annex IV: contract award procedures
- Annex V: standard request for payment
- Annex VI: model narrative and financial report
- Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
- Annex VIII: model financial guarantee
- Annex IX: standard template for transfer of ownership of assets

Annex H: Daily allowance rates (Per diem), available at the following address:
http://ec.europa.eu/europeaid/applicable-rates-diems-framework-ec-funded-external-aid-contracts-05072013_en

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

Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options

USEFUL LINKS

³¹ Optional where the total amount of the grants to be awarded under the Call for Proposals is EUR 100000 or less.

³² Only applicable where the European Commission is the Contracting Authority or will make the payments under the contracts to be signed.

³³ https://ec.europa.eu/europeaid/search/site/pador_en - only applicable in calls under direct management where PADOR is used.

³⁴ Not available in PT

PROJECT CYCLE MANAGEMENT GUIDELINES

https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en

THE IMPLEMENTATION OF GRANT CONTRACTS - A USERS' GUIDE

<http://ec.europa.eu/europeaid/companion/document.do?nodeNumber=19>

FINANCIAL TOOLKIT

http://ec.europa.eu/europeaid/sites/devco/files/financial-management-toolkit-for-recipients-15112010_en.pdf

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

* * *

• Titolo

Regional Facility for International Cooperation and Partnership

• Oggetto

Bando relativo a un nuovo strumento di cooperazione regionale per l'area America latina e Caraibi nel quadro di DCI II, finalizzato a migliorare l'integrazione dei paesi in via di sviluppo della regione e ad ampliare gli aiuti che consentono loro di conseguire i loro obiettivi di sviluppo, col fine ultimo di eliminare la povertà nell'area destinataria.

Questo strumento permetterà all'UE di cooperare con la regione LAC per assicurarne una crescita economica e sociale sostenibile nel tempo, che rispetti i diritti umani e i principi democratici e tuteli l'ambiente. Dovrebbe inoltre massimizzare l'impatto degli aiuti della cooperazione allo sviluppo dell'UE e favorire il dialogo e l'accordo biregionale e intraregionale tra UE e LAC.

I **Paesi beneficiari** del bando sono quelli che appartengono geograficamente alle aree dell'America Latina e dei Caraibi, riuniti nell'acronimo *LAC*, e precisamente:

- **America latina:** Argentina, Bolivia, Brasile, Cile, Colombia, Costa Rica, Cuba, El Salvador, Ecuador, Guatemala, Honduras, Messico, Nicaragua, Panama, Paraguay, Perù, Uruguay, Venezuela)
- **Caraibi:** Antigua e Barbuda, Bahamas, Barbados, Belize, Dominica, Repubblica Dominicana, Grenada, Guyana, Haiti, Giamaica, Saint Kitts e Nevis, Santa Lucia, Saint Vincent e le Grenadine, Suriname, Trinidad e Tobago.

• Fonte

Commissione europea - Sito Web Europa EuropeAid/150248/DH/ACT/Multi

• Ente Erogatore

Commissione europea

• Obiettivo

Con l'obiettivo globale di contribuire ad alleviare la povertà nella regione LAC, il bando intende appoggiare le azioni di cooperazione allo sviluppo multilaterali e Sud-Sud nella regione LAC portate avanti da uno o più Paesi LAC a favore di un altro, meno sviluppato.

• Azioni

Il bando finanzia azioni di lotta alla povertà nei Paesi beneficiari relative a una delle seguenti aree prioritarie:

1. **Diritti umani, democrazia e altri aspetti della buona governance** (sostegno alla democratizzazione, processo elettorale, libertà dei media ed accesso a internet, stato di diritto e sistema giudiziario; parità di genere e empowerment di donne e bambine; gestione del settore pubblico per una migliore erogazione di servizi e funzionamento delle istituzioni, gestione affidabile delle finanze pubbliche, politica fiscale e

amministrazione; accountability; rafforzamento dei legami con le organizzazioni della società civile; gestione sostenibile e trasparente delle risorse naturali; costruzione della pace e prevenzione dei conflitti, ecc.).

2. Crescita inclusiva e sostenibile:

2.1. Protezione sociale, salute, istruzione e formazione professionale, occupazione, migrazione ecc.,

2.2. Ambiente imprenditoriale, integrazione regionale e accesso al mercato mondiale (creazione di occupazione e sostegno alla mobilità del lavoro; sviluppo della competitività locale del settore privato, sostegno alle PMI e alle cooperative, pianificazione infrastrutturale, ecc.),

2.3. Agricoltura sostenibile ed energia (sostegno alle pratiche sostenibili in agricoltura, accesso a servizi energetici puliti e sostenibili, mitigazione del cambiamento climatico, ecc.).

Le azioni devono essere indirizzate ai governi e alle istituzioni pubbliche dei Paesi LAC, che vengono coinvolti in modo duplice, sia come offerenti l'aiuto sia come riceventi: i governi/istituzioni pubbliche LAC attuano l'azione in un Paese diverso dal loro operando in qualità di *provider* (fornitori) di aiuto per lo sviluppo, destinato ad un governo/istituzione pubblica di un diverso paese LAC, meno sviluppato e più povero, definito *recipient* (ricevente). Le attività contenute nella proposta progettuale devono sfruttare le esperienze e conoscenze maturate dal *provider* a favore del *recipient* in un processo di "apprendimento da pari".

Azioni possibili (elenco non esaustivo):

- sostenere e rafforzare la democratizzazione e lo stato di diritto,
- promuovere il rispetto dei diritti umani,
- rafforzare la capacità degli Stati di garantire efficacemente condizioni di sicurezza favorevoli per uno sviluppo inclusivo,
- rafforzare la responsabilità e la capacità delle istituzioni e delle amministrazioni pubbliche di fornire servizi pubblici di alta qualità,
- combattere la povertà attraverso la crescita economica più inclusiva e sostenibile nei LAC,
- ridurre la povertà delle popolazioni più vulnerabili, favorendo lo sviluppo eco-sostenibile e migliorando la capacità di far fronte ai cambiamenti climatici e alle catastrofi.

Possibili attività (elenco non esaustivo):

- assistenza tecnica e fornitura di competenze
- missioni, studi, analisi, visite di scambio, organizzazione di seminari
- infrastrutture e fornitura di materiali di consumo e merci che possono essere necessari per ottenere i risultati dell'azione

• Beneficiari

Possono essere **proponenti/co-proponenti** di una proposta progettuale gli organismi senza scopo di lucro con sede nell'UE o in uno dei Paesi beneficiari di DCI o nei Caraibi, che rientrino in una delle seguenti categorie di soggetti:

- organismi nazionali o dipartimenti governativi che si occupano di sviluppo/cooperazione a livello nazionale, responsabili delle relazioni internazionali o della cooperazione allo sviluppo
- organismi di diritto pubblico o di diritto privato con missione di servizio pubblico o

autorità locali che abbiano l'appoggio dell'organismo nazionale di sviluppo/aiuto o del dipartimento governativo summenzionato nel loro paese d'origine.

Possono inoltre partecipare a un progetto in qualità di co-applicant anche le organizzazioni internazionali.

• Entità Contributo

Il contributo comunitario potrà coprire fino all'**80%** dei costi totali. Il contributo per progetto non può superare i **2.000.000 euro**. Non saranno presi in considerazione progetti che richiedano un contributo inferiore a 150.000 euro.

• Modalità e procedura

Una proposta progettuale deve comprendere un **partenariato** di almeno **2 soggetti**: il proponente (*applicant*) che è il *provider* dell'aiuto e un co-proponente (*co-applicant*) che è il *recipient* dell'aiuto, nel rispetto delle seguenti condizioni:

- se il proponente/*provider* è originario di un Paese dell'America latina, il co-proponente *recipient* dovrà essere originario di un diverso Stato dell'AL o dei Caraibi;
- se il proponente/*provider* è originario dei Caraibi, il co-proponente/*recipient* dovrà essere originario di uno Stato AL.
- se il proponente è originario dell'UE, il partenariato dovrà comprendere almeno 2 co-proponenti, uno in funzione di *provider* e l'altro in funzione di *recipient* dell'aiuto; almeno uno di essi dovrà essere originario dell'AL.

La durata prevista del progetto deve esser compresa fra **6 e 48 mesi**.

Le attività di progetto possono svolgersi sul territorio dell'UE o degli Stati LAC destinatari del bando.

Il bando segue la procedura di presentazione **aperta**, che implica la presentazione in un'unica soluzione del *concept note* e della proposta completa di progetto. La Commissione procederà prima alla valutazione *concept note* e solo per quelli che passeranno questa prima fase sarà valutata anche la proposta completa di progetto. Per presentare una proposta progettuale sia il proponente sia i partner devono essere registrati nel sistema PADOR.

L'invio delle proposte progettuali alla Commissione deve essere fatta attraverso il sistema PROSPECT, in formato elettronico (accessibile direttamente attraverso la pagina web del bando).

La documentazione relativa al bando è disponibile sulla pagina web segnalata negli indirizzi utili.

• Scadenza

20/01/2016

• Referente

Commissione europea – Sviluppo e Cooperazione EuropeAid

- **Risorse finanziarie disponibili**

10.000.000 euro

- **Aree geografiche coinvolte**

UE 28 - Austria, Belgio, Bulgaria, Cipro, Croazia, Danimarca, Estonia, Finlandia, Francia, Germania, Grecia, Irlanda, Italia, Lettonia, Lituania, Lussemburgo, Malta, Olanda, Polonia, Portogallo, Regno Unito, Repubblica ceca, Repubblica slovacca, Romania, Slovenia, Spagna, Svezia, Ungheria.

DCI-America Latina - Argentina, Bolivia, Brasile, Cile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Messico, Nicaragua, Panama, Paraguay, Perú, Uruguay, Venezuela.

Caraibi - Caraibi