



**Contracting Authority:** European Commission

Raising public awareness of development issues and promoting development education in the European Union (DEAR programme)

### **Guidelines for grant applicants**

Budget line(s): BGUE- 14.020220- and 14.020243

**Reference:**

**EuropeAid/173998/DH/ACT/Multi**

**Deadline for submission<sup>1</sup> of concept notes:**

**04/11/2022 at 16:00 (Brussels date and time)**

(in order to convert to local time click [here](#)<sup>2</sup>)

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<sup>1</sup> 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 during European Commission public holidays in Belgium as published in the Official Journal). Applicants should take note of the weekly maintenance hours mentioned in the [PROSPECT user manual](#).

<sup>2</sup> An example of a time converter tool available online: <http://www.timeanddate.com/worldclock/converter.html>

## NOTICE

### **Please note that the awarding of grant contracts is subject to the condition of the prior adoption of a financing decision**

**This call for proposals is published only in English.**

This is a restricted call for proposals. In the first instance, only concept notes (Annex A.1 – Grant application form - Concept note) must be submitted for evaluation. Thereafter, lead applicants who have been pre-selected will be invited to submit a full application (Annex A.2 – Grant application form – Full application). After the evaluation of the full applications, an eligibility check will be performed for those which have been provisionally selected. Eligibility will be checked on the basis of the supporting documents requested by the Contracting Authority and the signed ‘declaration by the lead applicant’ sent together with the full application.

The call for proposals has been published with the suspensive clause before the relevant financing decision is adopted. The actual award and signing of contracts following this call for proposals depends on the adoption of the financing decision.

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

All organisations may find more information regarding PROSPECT in the <https://wikis.ec.europa.eu/display/ExactExternalWiki/Manual+for+Applicants+-+e-Calls+PROSPECT>. You may also contact our technical support team via the online support form in PROSPECT<sup>3</sup>.

#### **Preparation:**

A functional mailbox specifically dedicated to this call has been set up: [INTPA-173998@ec.europa.eu](mailto:INTPA-173998@ec.europa.eu)

This functional mailbox shall be used exclusively for sending clarification requests within the deadlines set in section 2.5.2 of these guidelines. The Contracting Authority reserves the right to close this mailbox without prior notice once this call for proposals is closed and not to reply to requests, which do not fall under one of the afore-mentioned category.

**Virtual Information session: 15 September 2022 from 14:30 until 16:30 (Brussels time).**

To help applicants familiarise themselves with this call before the online submission, a virtual information session will be organised on **15 September 2022 from 14:30 until 16:30 (Brussels time)**.

Should you be interested in this session, please send an email by 13 September 2022 to [INTPA-G3@ec.europa.eu](mailto:INTPA-G3@ec.europa.eu), indicating: name, surname, nationality and email address of the persons who are going to participate as well as their organisation (max. two participants per organisation). No costs incurred by the applicants for attending this information session are reimbursable.

<sup>3</sup> If PROSPECT is unavailable, the IT support can also be reached via email: [INTPA-SUPPORT-SERVICES@ec.europa.eu](mailto:INTPA-SUPPORT-SERVICES@ec.europa.eu)

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# 1. RAISING PUBLIC AWARENESS OF DEVELOPMENT ISSUES AND PROMOTING DEVELOPMENT EDUCATION IN THE EUROPEAN UNION (DEAR PROGRAMME)

## 1.1. BACKGROUND

The EU Development Education and Awareness Raising (DEAR) programme promotes and enables active engagement of EU citizens, especially young people, in development issues and addressing global challenges at local and global levels. It is also an important vehicle to promote European values such as equality and solidarity. The programme has been implemented under different forms and names since 1978, evolving together with the EU development policy, EU priorities and awareness of development and global issues of all EU citizens.

Global challenges (such as the triple planetary crisis - climate change, biodiversity loss and pollution -, inequality, irregular migration and others) have become more pressing in the last few years, some of them further exacerbated by the COVID-19 pandemic. This opens a wider door to overly simplistic solutions to complex problems, and potentially resulting in declining solidarity and increasing nationalistic tendencies. At the same time, the COVID-19 pandemic and the war in Ukraine provide momentum for our societies to become more aware of the global interdependence and the need to act in accordance with European values.

While young people are one of the groups most affected by these global challenges, the potential of their role and the impact of their actions are currently limited for various societal and structural reasons. Encouragingly, there have been, however, outstanding examples of youth movements, such as “Fridays for Future”<sup>4</sup>, which have a huge impact on the public discourse and showcase the important role young EU citizens want and can play in our societies at all levels.

While a large majority of EU citizens are convinced of the necessity of EU development cooperation<sup>5</sup>, only around half of them take action themselves. Many are not aware of their potential role and responsibility as citizens, voters and consumers<sup>6</sup>.

For example, although the knowledge about ecological crises is growing, many EU citizens do not adopt the simple steps to limit their carbon footprint, out of lack of knowledge or because they think it would not make any difference. In the quest for ever cheaper goods, even more pronounced in the midst of the economic crisis following the COVID-19 pandemic, adopting a sustainable lifestyle, respecting the planet and people, and taking action for the global good is still not a priority for many Europeans.

Sustainable development and addressing global challenges require actions based on responsibility towards both local and global communities and ecosystems. For the EU and Member States to pursue policy coherence for sustainable development, the support and engagement of the public is necessary.

The evaluation of the 2014-2019 CSO programme<sup>7</sup> recognised that the DEAR programme “is unique in its scope, being the only EU-funded programme that explicitly connects global development issues with actions aimed at EU citizens”, acknowledging also that DEAR worked through “a highly complementary set of modalities” while pointing out that “the effectiveness of the DEAR programme was impacted by the lack of a clear theory of change and a results framework of the programme”.

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<sup>4</sup> <https://fridaysforfuture.org/>

<sup>5</sup> Eurobarometer 512 “EU citizens and development cooperation” published April 2021

<sup>6</sup> Eurobarometer 455 “EU Citizens’ views on development, cooperation and aid” published in April 2017

<sup>7</sup> [https://international-partnerships.ec.europa.eu/policies/monitoring-and-evaluation/strategic-evaluation-reports/evaluation-civil-society-organisations-and-local-authorities-thematic-programme-2014-2019\\_en](https://international-partnerships.ec.europa.eu/policies/monitoring-and-evaluation/strategic-evaluation-reports/evaluation-civil-society-organisations-and-local-authorities-thematic-programme-2014-2019_en)

## 1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The DEAR programme for 2021 - 2024 will align with and contribute to the European Commission's priorities, in particular:

- i) the European Green Deal, by making EU citizens aware of the transitional challenges our societies are facing and the opportunities of green and just transition; and
- ii) the new push for European democracy, by communicating to EU citizens the core values of the EU (human dignity, freedom, democracy, equality, rule of law, human rights);
- iii) the Gender Action Plan (GAP III);
- iv) the June 2020 Council Conclusions on youth in external action<sup>8</sup>.

The programme complements efforts by the EU Member States, many of which have their own programmes in the area of Development Education and Awareness Raising/Global Citizenship Education (DEAR/GCE), in particular by adding the European dimension and supporting the build-up of a more coordinated European approach.

DEAR/Global Citizenship Education (GCE) in Europe can support the implementation of SDGs, and in particular SDG Target 4.7<sup>9</sup>, and address global challenges by acting as a compass with the aim of leaving no one and no place behind and ensuring a right implementation of Paris Agreement. It forms one of the pillars of the Policy Coherence for Sustainable Development by educating and engaging the public on sustainable development issues, as well as raising awareness on how EU Member States and EU policies can have an impact on development outcomes in partner countries.

By working at local level, with civil society and local authorities, DEAR/GCE grounds “abstract and theoretical” global challenges at local and community level, allowing EU citizens to take part in the global action and creating ownership. It is also an important vehicle to promote European values such as equality and solidarity, human dignity, freedom, democracy, the rule of law and respect for human rights, including the rights of persons belonging to minorities.

Young EU citizens are particularly supportive of and active on global issues such as the acceleration of the implementation of the 2030 Agenda and its SDGs and addressing ecological crises, thus, they are the EU's natural allies in this regard.

As recognised in the June 2020 Council Conclusions on Youth in external action, global citizenship education and awareness raising is one of the key elements of a comprehensive approach to respond to global challenges and to the efforts to build democratic, peaceful, inclusive, equitable, tolerant, secure, and sustainable societies across the world. The DEAR programme will also contribute to the legacy of the European Year of Youth by engaging more young EU citizens in addressing global challenges and supporting their role as change-makers.

The **global objective** of the DEAR programme and of this call for proposals is to achieve a more inclusive society with a developed sense of co-responsibility for local and global sustainable development and global challenges (notably global inequalities and ecological crises).

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<sup>8</sup> <https://www.consilium.europa.eu/en/press/press-releases/2020/06/08/youth-in-external-action-council-adopts-conclusions/>

<sup>9</sup> Target 4.7: By 2030, ensure that all learners acquire the knowledge and skills needed to promote sustainable development, including, among others, through education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship and appreciation of cultural diversity and of culture's contribution to sustainable development.

The **specific objectives** of this call for proposals are:

- 1) More EU citizens, including youth, have a critical understanding of the interdependent world as well as of their own role in it and have the interest to act for sustainable development;
- 2) More EU citizens, including youth, are actively engaged in sustainable development on local and global level;
- 3) Global Citizenship Education is better integrated into formal and non-formal education in EU Member States.

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

a) *Youth engagement*

The engagement of young EU citizens in the actions will be considered key in this call for proposals. Young EU citizens are agents of development and change and, as such, are essential contributors to the 2030 Agenda, including through their ability to innovate.

An expansive interpretation of youth is to be used, including every person between the ages of 15 and 30.

Youth should not only be included as the target group of the actions: various levels of meaningful youth engagement can be foreseen throughout the stages of the actions. To this aim, actions should reach out more systematically and directly involve youth organisations and networks.

Having youth engagement as one of the priorities does not exclude actions involving and targeting other groups such as parents, elders, educators, teachers, youth workers and any other group involved in life-long and life-wide learning.

b) *Gender equality*

Actions shall contribute to the Gender Action Plan (GAP III). Actions need to contain one specific objective on gender and issues related to gender equality, and women empowerment shall also be addressed and mainstreamed in the actions.

c) *Cross cutting themes*

Actions should contribute to promoting the fundamental values, as defined by Art. 2 of the Lisbon Treaty<sup>10</sup> “The Union is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities.”

Actions shall implement a rights-based approach. Actions shall promote ambitions for environmental and climate sustainability, where relevant.

d) *Targeting population segments less sensitive to and less involved with global challenges*

Regarding the perceived importance of development cooperation, Eurobarometer 512<sup>11</sup> recognised that “patterns in responses based on socio-demographic groups reflect those seen in previous reports. Gender is not influential, but opinions vary based on age, education level, financial situation, socio-professional field, Internet use, political orientation, socio-professional categories, and one’s opinion about the EU.”

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<sup>10</sup> Lisbon Treaty: <http://eur-lex.europa.eu/legal-content/EN/TXT/HTML/?uri=CELEX:12016ME/TXT&from=EN>

<sup>11</sup> <https://europa.eu/eurobarometer/surveys/detail/2267>

The European Commission is therefore encouraging actions that target population segments less sensitive to and less involved in global challenges.

*e) Cooperation between Civil Society Organisations (CSO) and Local Authorities (LA)*

Cooperation between Civil Society Organisations (CSOs)<sup>12</sup> and local authorities (LA)<sup>13</sup> is encouraged, including, where relevant, between entities based in the EU and in EU partner countries.

This call for proposals will have five lots. For all lots, all actions, including financial support to third parties, if any, must contribute to:

- i) the global objective, **and**
- ii) one or several specific objectives as defined in section 1.2., **and**
- iii) one or several priorities as defined in section 1.2.

For lots 1 to 4, the lead applicant needs to be a Civil Society Organisation, for lot 5 the lead applicant needs to be a Local Authority.

For all lots, lead applicants need to be established in a EU Member State. For more details about the eligibility criteria of applicants, see section 2.1.1. of these guidelines.

### **Lot 1: Actions engaging EU citizens in global sustainable development and responses to global challenges**

Only half of the EU citizens feel empowered to take action in the context of EU development cooperation. Eurobarometer 455<sup>14</sup> revealed that across the EU, only 46% of respondents state that they are personally involved in helping developing countries, with the most common actions giving money to an organisation such as an NGO or charity (27%), and making ethical choices when they shop for example for groceries or clothes (22%). In 18 countries, a majority of respondents state that they are not involved in “helping developing countries”.

There is therefore a clear need to raise awareness among EU citizens on the global interdependencies and challenges (such as the triple planetary crisis - climate change, biodiversity loss and pollution -, inequality, irregular migration and others), support the development of a sense of co-responsibility and engagement for local and global sustainable development and global challenges.

Actions could include campaigns, advocacy initiatives and citizen mobilisation.

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<sup>12</sup> For the purpose of this call for proposals, **Civil society organisations** embrace a wide range of actors with multiple roles and mandates which includes all non-State, not-for-profit independent and non-violent structures, through which people organise the pursuit of shared objectives and ideals, whether political, cultural, religious, environmental, social or economic. Operating from local, national, regional and international levels, they comprise urban and rural, formal and informal organisations.

<sup>13</sup> For the purpose of this call for proposals, **Local Authorities** are public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. The term encompasses different tiers of government, e.g. villages, municipalities, districts, counties, provinces, regions, etc.

<sup>14</sup> <https://europa.eu/eurobarometer/surveys/detail/2163>

To facilitate access to funding by smaller CSOs, including youth organisations<sup>15</sup> and networks, and LAs, actions featuring financial support to third parties are encouraged.

Furthermore, actions comprising financial support to third parties shall provide capacity building (e.g. training, coaching, organisational development, knowledge sharing and networking opportunities) to the smaller entities receiving the financial support.

In their application, the applicant(s) must outline the objectives and the results that they would seek to achieve through the use of the financial support. For further details about support to third parties, see the corresponding paragraph in section 2.1.3. of these guidelines.

## **Lot 2: Actions engaging young EU citizens and young people living in partner countries in joint initiatives**

Young people are essential partners to achieve the SDGs and address global challenges.

In line with the June 2020 Council Conclusions on Youth in external action and the European Year of Youth, Lot 2 of this call for proposals has a particular focus on engaging and mobilising young EU citizens and young people living in partner countries to exchange knowledge and implement joint initiatives to contribute to global sustainable development as a means to achieve the specific objectives of the call.

Hence, these actions will contribute to building links between young EU citizens and young people living in partner countries, develop their understanding of the interdependence of our world and strengthen their skills as leaders and multipliers in their communities.

Actions could include campaigns, advocacy initiatives and citizen mobilisation.

To facilitate access to funding by smaller CSOs, including youth organisations<sup>16</sup> and networks, and LAs, actions featuring financial support to third parties are encouraged.

Furthermore, actions comprising financial support to third parties shall provide capacity building (e.g. training, coaching, organisational development, knowledge sharing and networking opportunities) to the smaller entities receiving the financial support.

In their application, the applicant(s) must outline the objectives and the results that they would seek to achieve through the use of the financial support. For further details about support to third parties, see the corresponding paragraph in section 2.1.3. of these guidelines.

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<sup>15</sup> For the purpose of this call for proposals, **Youth organisations** are generally understood to be youth-led, non-profit, voluntary non-governmental associations, and under some circumstances, can instead be part of the state apparatus or be youth worker-led. They are mostly established to further the political, social, cultural, or economic goals of their members. This is done by implementing activities for young people and/or engaging in advocacy work to promote their cause. Typically, youth organisations focus on promoting and ensuring young people's democratic and social rights; encouraging their social and political participation at all levels in community life; and offering opportunities for personal and social development through leisure activities, voluntary engagement and non-formal and informal learning.

<sup>16</sup> For the purpose of this call for proposals, **Youth organisations** are generally understood to be youth-led, non-profit, voluntary non-governmental associations, and under some circumstances, can instead be part of the state apparatus or be youth worker-led. They are mostly established to further the political, social, cultural, or economic goals of their members. This is done by implementing activities for young people and/or engaging in advocacy work to promote their cause. Typically, youth organisations focus on promoting and ensuring young people's democratic and social rights; encouraging their social and political participation at all levels in community life; and offering opportunities for personal and social development through leisure activities, voluntary engagement and non-formal and informal learning.

### **Lot 3: Actions supporting initiatives implemented through financial support to third parties**

The objective of Lot 3 is to support initiatives implemented by Civil Society Organisations, including youth organisations and networks, or Local Authorities that do not have the financial, administrative and/or operational capacity to compete directly for EU funding under the DEAR programme.

This will be accomplished through the modality of financial support to third parties, which must be the main purpose of the action. Financial support to third parties is an activity carried out within the grant contract and consists in an indirect financial contribution made by the applicant(s) and/or affiliated entities to a third party, provided that the mandatory conditions for giving such support are fulfilled. The entities receiving financial support to third parties are the final recipients of the EU funds. Financial support is a payment of a non-commercial nature to implement an activity by third parties.

The actions implemented through the financial support must contribute to i) the global objective, and ii) one or several specific objectives, and iii) one or several priorities as defined in section 1.2. Furthermore, actions under this lot shall provide capacity building (e.g. training, coaching, organisational development, knowledge sharing and networking opportunities) to the smaller entities receiving the financial support.

The grant beneficiaries under this lot (applicant and co-applicants) will be responsible for the operational and financial supervision of the action carried out by third parties in compliance with the contract. They will provide accessible and flexible funding for third party actions contributing to the global and specific objectives of this call for proposals.

In their application, the applicant(s) must outline the objectives and the results that they would seek to achieve through the use of the financial support.

For further details about support to third parties, see the corresponding paragraph in section 2.1.3. of these guidelines and Annex X for this Lot.

### **Lot 4: Actions with a focus on formal, informal and non-formal Development Education**

Actions under this Lot will focus on:

- development education in the formal education system (such as curriculum development, teacher training, development education programmes in school, work with parents-teachers associations, etc.),

and/or

- actions outside the formal education system (such as youth groups (e.g. scouts), informal or non-formal education, student associations, etc.).

Actions under this lot aim at enhancing the competences of the target groups in addressing issues of global sustainable development and global challenges (notably global inequalities and ecological crises). The actions should apply learner-centred, participatory, dialogue-oriented and experiential methodologies to develop such competences.

**Actions operating with or targeting the formal education system must be approved by the relevant educational authorities.**

In countries where a national development education strategy has been developed, activities which take place within the formal education system have to be consistent with the national education strategy. Close coordination with relevant educational authorities is essential.

Applicants will be required to provide evidence in the form of a signed declaration by the relevant educational authorities, stating:

- that they are the competent authority in terms of education in the particular context,
- that the action fits within their national or local education priorities or strategy, and

- that they are willing to cooperate with the action.

This evidence will be requested together with the full application. This signed declaration must be submitted via PROSPECT under section 4. *Documents* (see section 2.2.5 of these guidelines). **Failure to provide such document will preclude the signature of a grant contract.**

To facilitate the access to funding by smaller CSOs, including youth organisations and networks, and LAs, actions featuring financial support to third parties are encouraged. This applies for actions both in and outside the formal education system.

Furthermore, actions comprising financial support to third parties shall provide capacity building (e.g. training, coaching, organisational development, knowledge sharing and networking opportunities) to the smaller entities receiving the financial support.

In their application, the applicant(s) must outline the objectives and the results that they would seek to achieve through the use of the financial support. For further details about support to third parties, see the corresponding paragraph in section 2.1.3. of these guidelines.

### **Lot 5: Actions by Local Authorities**

Applicants shall choose one of the following four types of actions possible:

- Actions engaging EU citizens in global sustainable development and responses to global challenges (refer to the description provided for Lot 1), or**
- Actions engaging young EU citizens and young people living in partner countries in joint initiatives (refer to the description provided for Lot 2), or**
- Actions with a focus on supporting initiatives implemented through financial support to third parties (refer to the description provided for Lot 3), or**
- Actions with a focus on formal and non-formal Development Education actions (refer to the description provided for Lot 4).**

Under this lot, the applicant must choose one type of action, defined as a, b, c, or d above and refer to the corresponding lot mentioned above. The lead applicant must be an LA or association of LAs. For more details about the eligibility criteria of applicants under this Lot, see section 2.1.1. of these guidelines.

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

The overall indicative amount made available under this call for proposals is **EUR 93 590 000**, of which **EUR 73 590 000** are for CSOs (CSOs as lead applicants) and **EUR 20 000 000** are for LAs (LAs as lead applicants). The Contracting Authority reserves the right not to award all available funds. Likewise, this amount could be increased should more funds become available.

The allocations for the funding of 2022 and 2023 are subject to the availability of these funds in the EU budget of 2022 and 2023.

Indicative allocation of funds by lot:

**Lot 1: Actions engaging EU citizens in global sustainable development and responses to global challenges**

Total available EUR 20 000 000

**Lot 2: Actions engaging young EU citizens and young people living in partner countries in joint initiatives**

Total available EUR 10 000 000

**Lot 3: Actions with a focus on supporting initiatives implemented through financial support to third parties**

Total available EUR 24 590 000

**Lot 4: Actions with a focus on formal, informal and non-formal Development Education actions**

Total available EUR 19 000 000

**Lot 5: Actions by Local Authorities**

Total available EUR 20 000 000

For Lots 1, 2, 3 and 4: in case the allocation indicated for one of these specific lots cannot be used due to insufficient quality or number of proposals received, the Contracting Authority reserves the right to reallocate the remaining funds among these lots.

Since funds from Lot 5 come from a different budget line, no reallocation is possible neither from lot 1, 2, 3 or 4 to lot 5, nor from lot 5 to other lots.

**Geographical balance may be taken into account by the European Commission at any stage of the evaluation.**

**Size of grants**

Any grant requested under this call for proposals must fall between the following minimum and maximum amounts of total eligible costs of the action:

Lot 1 and 3:

- minimum amount: EUR 5 000 000
- maximum amount: EUR 10 000 000

Lot 2, 4, 5:

- minimum amount: EUR 3 000 000
- maximum amount: EUR 7 000 000

Any grant requested under this call for proposals must not exceed the below maximum percentage of total eligible costs of the action:

- Minimum percentage: 70 % of the total eligible costs of the action.
- Maximum percentage: 90% of the total eligible costs of the action (see also Section 2.1.4).

In line with section 6.3.10. of the Practical Guide (PRAG 2021.1), neither the beneficiaries (coordinator/lead applicant and co-beneficiaries/co-applicants) nor affiliated entities must produce a profit within the framework of the action. In the context of this call, profit is defined as a surplus of the receipts over the eligible costs approved by the Contracting Authority when the request for payment of the balance is made. Income generated by the action may be accepted as co-financing.

In case a profit is made, the Contracting Authority has the right to reduce the final amount of the grant by the percentage of the profit corresponding to the final European Union contribution to the eligible costs actually incurred approved by the Contracting Authority (thus excluding other eligible costs declared on a simplified cost option basis), except in the cases listed in section 6.3.10 of the PRAG.

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the general budget of the Union.

## 2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the practical guide, which is applicable to the present call (available on the internet at this address <http://ec.europa.eu/europeaid/prag/document.do?locale=en>).<sup>17</sup>

### 2.1. ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- (1) the actors (2.1.1.):
  1. The **'lead applicant'**, i.e. the entity submitting the application form;
  2. if any, its **co-applicant(s) (where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as 'applicant(s)')**;
  3. and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s);
- (2) the actions (2.1.3.):
  4. actions for which a grant may be awarded;
- (3) the costs (2.1.4.):
  5. types of cost that may be taken into account in setting the amount of the grant.

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| <b><i>2.1.1. Eligibility of applicants (i.e. lead applicant and co-applicant(s))</i></b> |
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#### **Lead applicant**

(1) **Under Lot 1, 2, 3 and 4**, in order to be eligible for a grant, the **lead applicant** must:

- be a legal person **and**
- be non-profit-making **and**
- be a Civil Society Organisation (CSO)<sup>18</sup> or an association of CSOs<sup>19</sup> **and**
- be established<sup>20</sup> in a Member State of the European Union **and**

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<sup>17</sup> Note that a lead applicant (i.e. a coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a contribution agreement based on the contribution agreement template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the contribution agreement template.

<sup>18</sup> For the purpose of this call for proposals, **Civil society organisations** embrace a wide range of actors with multiple roles and mandates which includes all non-State, not-for-profit independent and non-violent structures, through which people organise the pursuit of shared objectives and ideals, whether political, cultural, religious, environmental, social or economic. Operating from local, national, regional and international levels, they comprise urban and rural, formal and informal organisations.

<sup>19</sup> For the purpose of this call for proposals, **associations of CSOs** are representative, membership-based and actor-based (actor-based networks are understood as structures that gather civil society organisations belonging to the same family of actors, such as, inter alia, non-governmental organisations, cooperatives, trade unions, employers' organisations, foundations, etc.) Civil Society networks.

- be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
- be able to demonstrate to have carried out activities in the field of development education and awareness raising, and/or global learning for at least three years, preferably during the last 3 to 5 years.

**Under lot 5**, in order to be eligible for a grant, the **lead** applicant must:

- be a legal person **and**
- be a Local Authority<sup>21</sup> (LA) from a Member State of the European Union, constituted in accordance with the legislation in force in the country, or Associations of Local Authorities (ALA)<sup>22</sup> registered in a Member State of the European Union **and**
- be established in<sup>23</sup> a Member State of the European Union **and**
- be directly responsible for the preparation and management of the action with the co-applicants and affiliated entity(ies), not acting as an intermediary **and**
- be able to demonstrate to have carried out activities in the field of development education and awareness raising<sup>24</sup>, and/or global learning<sup>25</sup> for at least three years preferably during the last 3 to 5 years.

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

<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 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.

<sup>21</sup> For the purpose of this call for proposals, **Local Authorities** are public institutions with legal personality, component of the State structure, below the level of central government and accountable to citizens. Local Authorities are usually composed of a deliberative or policy-making body (council or assembly) and an executive body (the Mayor or other executive officer), directly or indirectly elected or selected at local level. The term encompasses different tiers of government, e.g. villages, municipalities, districts, counties, provinces, regions, etc.

<sup>22</sup> For the purpose of this call for proposals, **Associations of Local Authorities (ALAs)** are umbrella organisations based on membership and representativeness at sub-national, national, sub-continental, continental and international level. They may be in the country of registration. ALAs may be composed of a representative body elected by its LAs members and permanent secretariat. Their main functions include advocacy, coordination experience and knowledge sharing among LAs, quality supervision, promotion of local development plans.

<sup>23</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 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.

<sup>24</sup> For the purpose of this call for proposals, **Development education and awareness raising (DEAR)** is understood to aim at informing EU citizens about development issues, mobilising greater public support for action against poverty, providing citizens with tools to engage critically with global development issues and foster new ideas, and changing attitudes. It is implemented by civil society actors and local authorities in EU and (potential) candidate countries.

<sup>25</sup> For the purpose of this call for proposals, **Global Learning** is understood to aim at opening people's eyes and minds to the realities of the world, and awakening them to bring about a world of greater justice, equity and human rights for all. Global Education is understood to encompass Development Education, Human Rights Education, Education for Sustainability, Education for Peace and Conflict Prevention and Intercultural Education; being the global dimensions of Education for Citizenship.

Lead applicants, co-applicants, affiliated entities and, in case of legal entities, persons who have powers of representation, decision-making or control over the lead applicant, the co-applicants and the affiliated entities are informed that, should they be in one of the situations of early detection or exclusion according to Section 2.6.10.1 of the PRAG, personal details (name, given name if natural person, address, legal form and name and given name of the persons with powers of representation, decision-making or control, if legal person) may be registered in the early detection and exclusion system, and communicated to the persons and entities concerned in relation to the award or the execution of a grant contract. In this respect, provisionally selected lead applicants, co-applicants and affiliated entities or those placed in the reserve list are obliged to declare that they are not in one of the exclusion situations through a signed declaration on honour (Annex H). For grants of EUR 15 000 or less, no declaration on honour is required. See section 2.4.

In Annex A.1 Section 2 and Annex A.2 Section 5 ('declaration(s) by the lead applicant'), the lead applicant must declare that the lead applicant himself, the co-applicant(s) and affiliated entity(ies) are not in any of these situations.

The lead applicant 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 G (special conditions). The coordinator is the sole interlocutor of the Contracting Authority. It represents and acts on behalf of any other co-beneficiary (if any) and coordinates the design and implementation of the action.

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

**Under all lots, the lead applicant must act together with a minimum of 2 co-applicants.**

Except for Lot 2, these 2 co-applicants must each be established in a EU Member State different from the lead applicant and different from the other co-applicant. The other co-applicants, if any, can be established in any EU Member State or a country or territory, as defined in Annex M.

For Lot 2, the lead applicant must apply together with a minimum of 2 co-applicants, of which at least one must be established in a EU Member State different from the lead applicant and at least one must be established in a country or territory, as defined in Annex M.

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

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

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

- be legal persons or an entity without legal personality<sup>26</sup> **and**
- be non-profit-making **and**
- be a specific type of organisation such as:
  - a Civil Society Organisation (CSO) **or**
  - an association of CSOs **or**
  - a Local Authority (LA) **or**

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<sup>25</sup> 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.

- an association of LAs **and**
- be effectively established in one of the eligible countries or territories as per Annex M.

Co-applicants must sign the mandate in Annex A.2 Section 5.

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

- (3) In addition, please note that contracts cannot be awarded to or signed with applicants included in the lists of EU restrictive measures (see Section 2.4. of the PRAG).

The choice of co-applicants must be justified in the proposal as part of the project design and will be taken into account in point 2.1 of the concept note evaluation grid (see section 2.3 of these guidelines). The composition of the partnership will be evaluated in point 4.3 of the full application evaluation grid (see section 2.3 of these guidelines).

Each member of a partnership must have a precise and clearly identified role in the implementation of the project. A partnership should be composed in such a way as to allow the achievement of the project objectives in the most effective and cost-efficient manner.

The role of each member of the partnership (lead and co-applicants) must be clearly explained in the proposal (description of the action). It is strongly recommended that the lead applicant and its co-applicants draw up an agreement defining their partnership as well as their respective technical and financial roles and obligations. A clear allocation of responsibilities and costs will contribute to the partnership's success.

### **Affiliated entities**

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to an applicant may hence be:

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

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

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

#### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

If the applicants are awarded a grant contract, their affiliated entity(ies) will not become beneficiary(ies) of the action and signatory(ies) of the grant contract. However, they will participate in the design and in the implementation of the action and the costs they incur (including those incurred for implementation contracts and financial support to third parties and subcontractors) 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 or the co-applicant(s).**

They must sign the affiliated entity(ies) statement in Annex A.2 Section 5.

#### ***2.1.2. 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 or individuals may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in Section 2.1.1. Associates must be mentioned in 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 action. Contractors are subject to the procurement rules set out in Annex IV to the standard grant contract.

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

a) Definition

An action is composed of a set of activities.

b) Duration

The initial planned duration of an action may **not be lower than 36 months nor exceed 48 months**.

c) Sectors or themes

Actions will have to address the priority issues identified in chapter 1.2.

d) Location

Actions will have to take place as follows:

**Lot 1: Actions engaging EU citizens in global sustainable development and responses to global challenges**

Actions must take place in a minimum of **7** EU Member States. A minor portion of the action may be carried out in a candidate and/or potential candidate country and/or in EU partner countries on the condition that they directly contribute to the objectives of the present call for proposals.

**Lot 2: Actions engaging young EU citizens and young people living in partner countries in joint initiatives**

Actions must take place in a minimum of **4** EU Member States. A minor portion of the action may be carried out in a minimum of 2 candidate and/or potential candidate countries and/or in EU partner countries on the condition that they directly contribute to the objectives of the present call for proposals.

**Lot 3: Actions with a focus on supporting initiatives implemented through financial support to third parties**

Actions must take place in a minimum of **7** EU Member States. A minor portion of the action may be carried out in candidate and/or potential candidate countries and/or in EU partner countries on the condition that they directly contribute to the objectives of the present call for proposals.

**Lot 4: Actions with a focus on formal, informal and non-formal Development Education actions**

Actions must take place in a minimum of **4** EU Member States. A minor portion of the action may be carried out in candidate and/or potential candidate countries and/or in EU partner countries on the condition that they directly contribute to the objectives of the present call for proposals.

**Lot 5: Actions by LAs**

For types of action a, b, c, or d, actions must take place in a minimum of **4** EU Member States. A minor portion of the action may be carried out in candidate and/or potential candidate countries and/or in EU partner countries on the condition that they directly contribute to the objectives of the present call for proposals.

See **Annex N** to these guidelines for a detailed list of eligible countries as action location per each lot.

Please note that only the main action locations (beneficiary countries) must be encoded in PROSPECT. In the event a minor portion of the action is carried out in candidate and/or potential candidate countries and/or EU partner countries, such countries must be indicated in the cover page of the ‘Annex A.1 – Grant application form - Concept note’ and ‘Annex A.2 – Grant application form – Full application’.

e) Types of action

To be eligible for co-financing, actions under this call must comply with the objectives and the priority issues of the call for proposals described in point 1.2 of these Guidelines.

Although final beneficiaries of the action could be the general population, actions must clearly identify and define specific target groups.

The objectives will be reached through a combination of campaigns, awareness raising, communication and outreach activities and global learning. Formal education actions should be developed in complementarity with Member States’ efforts in development education.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the 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 intended to raise funds or promote the visibility of the applicant or its partner(s);
- actions which consist mainly of research or of study;
- actions which consist exclusively or primarily in capital expenditure, such as infrastructure, land, equipment;
- 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 which directly support political parties;
- actions which include proselytising activities.

f) Types of activity

Applicants are invited to present all the activities they consider necessary in order to achieve the objectives of this call for proposals in relation to existing national and/or local demands, and to obtain tangible results in the context where the selected projects will be implemented.

- The EU may organise seminars/conferences/meetings/hubs virtually or in-person, in Brussels or elsewhere, at least once a year for the whole duration of the project. Participation in seminars such as the inception and capitalisation seminars (Exchange Hub, Learning and Development Hub), for the purpose of training, exchange of good practices and networking is compulsory for the actions presented under all lots of this call for proposals.
- In preparing the plan of activities, it is compulsory to foresee the participation of one lead applicant project staff, and two co-applicant project staff per seminar.

▪ It is not necessary to foresee these costs in the budget, as the European Commission will cover travel costs and per diem

▪ In preparing the plan of activities and related budget, applicants **must include** the costs of **external expenditure verifications**. All requests for payment must be accompanied by an expenditure verification report (for grants below EUR 5 000 000, by derogation to Art 15.1 of the General Conditions, a budget provision for expenditure verifications at each interim payment should be included, subject to a risk-assessment during contracting).

▪ In preparing the plan of activities and related budget, applicants must include the costs of an **external final evaluation**.

g) Financial support to third parties<sup>27</sup>

**For Lots 1, 2, 4 and 5 option a, b, and d:**

Applicants may propose financial support to third parties.

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

The maximum amount of financial support per third party is EUR 60 000 except where achieving the objectives of the actions would otherwise be impossible or overly difficult, in which case this threshold can be exceeded. A threshold below EUR 60 000 can be set if appropriate.

**For Lot 3 and Lot 5 option c:**

Applicants shall propose financial support to third parties in order to help achieve the objectives of the action. This support shall be the main purpose of the action.

For actions under this call with the main purpose of financial support to third parties, the maximum amount of financial support per third party is EUR 250 000.

For actions under Lot 3 and Lot 5 option c where financial support to third parties is the main purpose, applicants should refer to Annex X for more detailed information.

**For all lots:**

In compliance with the present guidelines and notably of any conditions or restrictions in this Section, the lead applicant must define in Section 2.1.1 of Annex A.2 (Grant application form – Full application):

- (i) the overall objectives, the specific objective(s) and the outputs<sup>28</sup> (i.e. the results) to be achieved 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

<sup>27</sup> These third parties are neither affiliated entity(ies) nor associates nor contractors.

<sup>28</sup> As per OECD DAC definition, the term ‘results’ includes: ‘impact’ (overall objective), ‘outcome(s)’ (specific objective(s) and ‘output(s)’.

- (vi) the maximum amount which may be given
- (vii) set-up of the control system to verify the eligibility of costs.

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

Financial support to third parties is intended to contribute to the objectives and priorities of this call for proposals and the objectives of the action.

Furthermore, strengthening the capacity (through e.g. training, coaching, organisational development, knowledge sharing and networking with other organisations) of small and medium sized CSOs and LAs receiving the financial support shall be an additional priority for these actions, and hence, depending on quality and sustainability of the proposed capacity building, applications will be accorded a higher score under point 2.4. of the evaluation grid of the full application. The objectives/types of capacity building/methods/approaches/plan for this capacity building shall be clearly described in the application.

**Third parties which may receive financial support:**

Except for Lot 3 and Lot 5 type of action c, third parties eligible for financial support **must**:

- be legal persons or an entity without legal personality **and**
- be non-profit-making **and**
- be a Civil Society Organisation (CSO) or an association of CSOs, **or** be a Local Authority or Associations of Local Authorities **or** be an informal youth group/network **and**
- be established in<sup>29</sup> a Member State of the European Union or country or territory, as defined in Annex M **and**
- be **neither** a beneficiary of a grant (neither lead, nor co-applicant, or affiliated entity) **nor** associates **or** contractors in the frame of this call for proposals **and**
- not have the financial, administrative or operational capacity to compete directly for EU funding under this call for proposals.

For Lot 3 and Lot 5 type of action c, third parties eligible for financial support are defined in **Annex X**.

A legal entity may only be eligible to receive one financial support to third party within the framework of this call for proposals.

Financial Support to third parties outside of the EU can constitute a maximum of 20% of the financial support to third parties foreseen by this action. This percentage must be clearly indicated in Annex A2. - Full application form and reflected in the budget.

h) Visibility

In line with the requirements set out in the NDICI-Global-Europe Regulation, applicants must take all necessary steps to acknowledge the fact that the European Union has funded or co-funded the action.

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<sup>29</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 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.

This includes ensuring the EU emblem is prominently and correctly displayed in any material produced which relates to the action, together with a simple funding statement mentioning the EU's support. The requirement applies to all material produced in the context of campaigns, awareness raising, communication and outreach activities proposed as part of the action. The applicant must grant the EU the right to use any communication material related to the action, to which the applicant holds the rights.

All measures and activities relating to visibility and, if applicable, communication, must comply with the latest Communication and Visibility Requirements for EU-funded external action, laid down and published by the European Commission ([Communication and Visibility Requirements for EU External Actions | International Partnerships \(europa.eu\)](#)).

i) Number of applications and grants per applicants / affiliated entities

- The lead applicant may not submit more than one application as lead applicant under this call for proposals.
- The lead applicant may not be awarded more than one grant as lead applicant under this call for proposals.
- The lead applicant may be a co-applicant or an affiliated entity in other applications at the same time under this call for proposals.
- A co-applicant/affiliated entity may not be the co-applicant or affiliated entity in more than one application per lot under this call for proposals.
- A co-applicant/affiliated entity may be awarded more than one grant under this call for proposals.

Should an entity submit more than one application as a lead applicant/coordinator under this call for proposals, the Evaluation Committee will only consider the first proposal arrived on the basis of submission date and hour. Any other proposal submitted by the entity will be rejected.

j) A system for measuring results:

As a response to the 2014-2019 evaluation pointing out that “clear theory of change and a results framework of the programme” were missing, and in order to have more effective and efficient actions and to ensure reported results can be put together and aggregated for, reporting on the achievements of DEAR actions on a programme level, the European Commission, in cooperation with stakeholders, has developed a DEAR guide for Monitoring, Evaluation, Accountability and Learning (MEAL)<sup>30</sup>.

Actions shall determine their objectives, results chain and indicators (using Core DEAR and action-specific indicators) as well as their result monitoring and reporting in line with the guidance provided by the MEAL guide.

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| <b><i>2.1.4. Eligibility of costs: costs that can be included</i></b> |
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Union contribution under this call for proposals take the following form(s):

- Reimbursement of eligible costs that may be based on any or a combination of the following forms:
  - (i) actual costs incurred by the beneficiary(ies) and affiliated entity(ies);

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<sup>30</sup> <https://europa.eu/capacity4dev/dear/news/new-dear-handbook-all-project-stages>

(ii) one or more simplified cost options (see below).

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'.

Simplified cost options may take the form of:

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

Simplified costs options (SCOs) which can be proposed are the following:

"output or result based SCOs": they include costs linked to outputs, results, activities, deliverables in the framework of a specific project (for example the determination of a lump sum for the organisation of a conference, or for the realisation of a determined output/activity). Where possible and appropriate, lump sums or unit costs shall be determined in such a way to allow their payment upon achievement of concrete outputs and/or results. This type of SCO can be proposed by the beneficiary (no threshold is applicable) at proposal's stage (in Annex A.2 – Grant application form – Full application). In case the evaluation committee is not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

Refer to Annex K for the details of the procedure to be followed depending on the type and amount of the costs to be declared as SCO.

Applicants proposing this form of reimbursement, must clearly indicate in worksheet no.1 of Annex B, each heading/item of eligible costs concerned by this type of financing, i.e. add the reference in capital letters to 'UNIT COST', 'LUMPSUM' 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 and/or lump sums to which costs they refer, etc. for output or result based SCO;
- clearly explain the formulas for calculation of the final eligible amount for output or result based SCO.

In case of output or result based SCOs the evaluation committee 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. In case the evaluation committee is not satisfied with the quality of the justification provided reimbursement on the basis of actually incurred costs is always possible.

No threshold is set ex ante for the total amount of financing that can be authorised by the Contracting Authority on the basis of simplified cost options.

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

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

The grant may take the form of a single lump-sum covering the entire eligible costs of an action or a work programme.

Single lump sums may be determined on the basis of the estimated budget, which should comply with the principles of economy, efficiency and effectiveness. Compliance with these principles shall be verified ex ante at the time of evaluation of the grant application.

When authorising single lump sums the authorising officer responsible shall comply with the conditions applicable to output or result based SCOs.

When using this form of financing, the description of the action shall include detailed information on the essential conditions triggering the payment, including, where applicable, the achievement of outputs and/or results.

#### Eligible direct costs

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

#### Contingency reserve

The budget may include a contingency reserve not exceeding 5 % of the estimated direct eligible costs. It can only be used with the **prior written 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 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 not eligible costs (except for personnel costs for the work carried out by volunteers under an action or operating grant if so authorised).

Contributions in kind may not be treated as co-financing.

However, if the description of the action as proposed includes contributions in kind, the contributions have to be made.

Other co-financing shall be based on estimates provided by the applicant.

#### 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 grant;

- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred in accordance with Article 7.5 of the general conditions of the standard grant contract, at the latest at the end of the action;
- currency exchange losses;
- in kind contributions (except for volunteers' work);
- bonuses included in costs of staff;
- negative interest charged by banks or other financial institutions;
- credit to third parties;
- salary costs of the personnel of national administrations;
- purchases of vehicles, unless the applicant can demonstrate that the purchase is necessary for the purpose of the action implementation.

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

#### a) Absence of conflict of interest

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

#### b) Respect for human rights as well as environmental legislation and core labour standards

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

#### **Zero tolerance for sexual exploitation, abuse and harassment:**

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

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

Applicants (and affiliated entities) other than (i) natural persons (ii) pillar-assessed entities and (iii) governments and other public bodies whose application has been pre-selected or placed in a reserve list, shall assess their internal policy against sexual exploitation, abuse and harassment (SEA-H) through a self-evaluation questionnaire (Annex L). For grants of EUR 60 000 or less no self-evaluation is required. Such self-evaluation questionnaire is not part of the evaluation of the full application by the Contracting Authority, but is an administrative requirement. See section 2.5.6 of the PRAG.

#### c) Anti-corruption and anti-bribery

The applicant shall comply with all applicable laws and regulations and codes relating to anti-bribery and anti-corruption. The Contracting Authority reserves the right to suspend or cancel project

financing if corrupt practices of any kind are discovered at any stage of the award process or during the execution of a contract and if the Contracting Authority fails to take all appropriate measures to remedy the situation. For the purposes of this provision, ‘corrupt practices’ are the offer of a bribe, gift, gratuity or commission to any person as an inducement or reward for performing or refraining from any act relating to the award of a contract or execution of a contract already concluded with the Contracting Authority.

d) Unusual commercial expenses

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

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

e) Breach of obligations, irregularities or fraud

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

## 2.2. HOW TO APPLY AND THE PROCEDURES TO FOLLOW

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

- I. Provide information about the organisations involved in the action. **To this end, lead applicants, co-applicants and affiliated entities must register in PADOR.** Lead applicants must register at the concept note step. Co-applicants and affiliated entities must register at the full application step; lead applicants must make sure that their PADOR profile is up to date. Please note that the registration of this data in **PADOR is obligatory** for this call for proposals:

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:

[https://ec.europa.eu/international-partnerships/funding/looking-for-funding\\_en](https://ec.europa.eu/international-partnerships/funding/looking-for-funding_en)

If it is impossible to register online in PADOR for technical reasons, lead applicants, co-applicants and/or affiliated entity(ies) must complete the ‘PADOR registration form’<sup>31</sup> attached to these guidelines. This form must be sent **together with the full application**, by the submission deadline (see section 2.2.5).

- II. Provide information about the action in the documents listed under sections 2.2.2 (*Where and how to send concept notes*) and 2.2.5 (*Full applications*). Please note that online submission via **PROSPECT is obligatory** for this call.

PROSPECT is the European Commission’s online application system developed for the submission of applications for calls for proposals in the field of external action. The aim of

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<sup>31</sup> Which corresponds to Annex F – PADOR off-line form (PRAG annex e13).

PROSPECT is to increase the efficiency of the management of the call for proposals and to offer a better service to civil society organisations allowing them to submit their proposals online and to follow up online the status of their application. Applicants also receive automatic notifications when new documents (clarifications, corrigenda, etc.) are published for their call. PROSPECT is accessible via the website:

[https://ec.europa.eu/international-partnerships/funding/looking-for-funding\\_en](https://ec.europa.eu/international-partnerships/funding/looking-for-funding_en)

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

All technical questions related the use of these systems should be addressed to the IT helpdesk at [INTPA-SUPPORT-SERVICES@ec.europa.eu](mailto:INTPA-SUPPORT-SERVICES@ec.europa.eu) via the online support form in PROSPECT.

### **2.2.1. Concept note content**

Applications must be submitted in accordance with the concept note instructions in the grant application form annexed to these guidelines (Annex A.1). Lead applicants should then keep strictly to the format of the concept note and fill in the paragraphs and pages in order.

Applicants must apply in **English**.

Please note that:

1. In the concept note, lead applicants must only provide an estimate of the requested EU contribution as well as an indicative percentage of that contribution in relation to the eligible costs of the action. A detailed budget is to be submitted only by the lead applicants invited to submit a full application in the second phase.
2. The elements outlined in the concept note may not be modified in the full application, except for the changes described below:
  - The EU contribution may **not vary** from the initial estimate **by more than 20 %**. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in Section 1.3.
  - The lead applicant may **add, remove or replace one or more co-applicant(s) or affiliated entity (ies) only in duly justified cases**.
  - The lead applicant may **adjust the duration of the action** if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases, the duration **must remain within the limits imposed by the guidelines for applicants**. Own contributions by the applicants can be replaced by other donors' contributions at any time.

**An explanation/justification of the relevant replacements/adjustments shall be included in Annex A.2 – Instructions for drafting the Full Application, section 2.1.1, point viii. Should the explanation/justification not be accepted by the evaluation committee, the proposal may be rejected on that sole basis.**

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

Please complete the concept note carefully and as clearly as possible so that it can be assessed properly.

Any error related to the concept note instructions (Annex A.1) or major discrepancy related to the concept note instructions (Annex A.1) may lead to the rejection of the concept note.

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

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

The concept note (Annex A.1) together with the declaration by the lead applicant (Annex A.1 section 2) **must be submitted online via PROSPECT** <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the [PROSPECT user manual](#).

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

Concept notes sent by any other means (e.g. by e-mail) will be rejected.

Hand-written concept notes will not be accepted.

**Please note that incomplete concept notes may be rejected.** Lead applicants are advised to verify that their concept note is complete by using the checklist for concept note (Annex A.1, Instructions).

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

The deadline for the submission of concept notes is **04/11/2022 at 16:00 (Brussels date and time)**. In order to convert this deadline to local time you can use any online time converter tool that takes into account time zones and winter/summer time changes (example available [here](#)). **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such afore-mentioned difficulties.

Any concept note submitted after the deadline will be rejected.

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

A virtual information session on this call for proposals will be held on **15 September 2022 from 14:30 until 16:30** Brussels time.

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

E-mail address: [INTPA-173998@ec.europa.eu](mailto:INTPA-173998@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 submission of concept notes**.

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

**No individual replies will be given to questions.** All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the website of DG International Partnerships, as the need arises.

[https://international-partnerships.ec.europa.eu/index\\_en](https://international-partnerships.ec.europa.eu/index_en)

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 [INTPA-SUPPORT-SERVICES@ec.europa.eu](mailto:INTPA-SUPPORT-SERVICES@ec.europa.eu) **via the online support form in PROSPECT**. Please note that the working languages of the IT support are English, French and

Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

Please note that the Contracting Authority may decide to cancel the call for proposals procedure at any stage according to the conditions set out in Section 6.5.9 of the PRAG.

### **2.2.5. Full applications**

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using the grant application form annexed to these guidelines (Annex A.2 – Grant application form – Full application). Lead applicants should then keep strictly to the format of the grant application form and fill in the paragraphs and pages in order.

The elements outlined in the concept note may not be modified in the full application, except for the changes described below:

- The EU contribution may **not vary** from the initial estimate **by more than 20 %**. Lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines in Section 1.3.
- The lead applicant may **add, remove or replace one or more co-applicant(s) or affiliated entity(ies) only in duly justified cases**.
- The lead applicant **may adjust the duration of the action** if unforeseen circumstances outside the scope of the applicants have taken place following the submission of the concept note and require such adaptation (risk of action not being carried out). In such cases, the duration **must remain within the limits imposed by the guidelines for applicants**.

**An explanation/justification of the relevant replacements/adjustments shall be included in Annex A.2 – Instructions for drafting the Full Application, section 2.1.1, point viii. Should the explanation/justification not be accepted by the evaluation committee, the proposal may be rejected on that sole basis.**

Lead applicants must submit their full applications in the same language as their concept notes.

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

Any error related to the points listed in the checklist (Annex A.2, Instructions) or any major inconsistency in the full application (e.g. if the amounts in the budget worksheets are inconsistent) may lead to the rejection of the application.

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

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

If it is impossible to register online in PADOR for technical reasons, **the lead applicant has to submit with the full application the completed PADOR form (Annex F) for the lead applicant, each (if any) co-applicants and each (if any) affiliated entities<sup>32</sup>.**

Please note that the following documents shall be uploaded in PADOR by the full application deadline or submitted together with the PADOR registration form with the full application form:

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<sup>32</sup> Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to provide an organisation data form. In this case, the information included in the grant application form is sufficient.

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity. 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, 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) should be submitted instead of the statutes or articles of association, unless a change in legal status has occurred in the meantime. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. Legal entity form (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and by each co-applicant, if any), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity form and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
3. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached as Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.
4. For applications of Lot 4 including activities in formal education, applicants will be required to provide evidence in the form of a signed declaration by the relevant educational authority in each of the countries of intervention, where activities in the formal education sector are taking place, stating:
  - that they are the competent authority in terms of education in the particular national context,
  - that the project fits within their national or local education priorities or strategy, and
  - that they are willing to cooperate with the project.

This declaration must be submitted via PROSPECT under section 4. Documents.

5. 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.

In addition, for the purpose of the evaluation of the financial capacity, the following documents should be submitted<sup>33</sup>:

1. For action grants exceeding EUR 750 000 and for operating grants exceeding EUR 100 000, the lead applicant must provide an audit report produced by an approved external auditor where it is available, and always in cases where a statutory audit is required by EU or national law. That report shall certify the accounts for up to the last 3 financial years available.

In all other cases, the lead applicant shall provide a self-declaration signed by its authorised representative certifying the validity of its accounts for up to the last 3 financial years available.

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<sup>33</sup> No supporting documents will be requested for applications for a grant not exceeding EUR 60 000.

This requirement shall apply only to the first application made by an applicant to the Contracting Authority in any one financial year.

The external audit report as well as the self-declaration certifying the validity of the accounts are not required from the co-applicant(s) or affiliated entities (if any).

2. A copy of the lead applicant's latest accounts (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed)<sup>34</sup>. A copy of the latest account is neither required from the co-applicant(s) (if any) nor from affiliated entity(ies) (if any).

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

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

Where these documents are in an official language of the European Union other than English, it is strongly recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts of the documents, proving the lead applicant's and, where applicable, co-applicants' and affiliated entity(ies)' eligibility, into the language of the call for proposals.

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

If the abovementioned supporting documents are not provided by the deadline for the submission of the full application, the application may be rejected.

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

Full applications (i.e. the full application form – Annex A.2, the PADOR registration form (where applicable), the budget, the logical framework, and the declaration by the lead applicant) must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the [PROSPECT users' manual](#).

Upon submission of the full application online, the lead applicants will receive an automatic confirmation of receipt in their PROSPECT profile.

Applications sent by any other means (e.g. by e-mail) will be rejected.

Hand-written applications will not be accepted.

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

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<sup>34</sup> This obligation does not apply to natural persons who have received a scholarship or that are in most need of direct support, nor to public bodies and to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to Section 2.2.5, point 1.

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

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant.

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

Any application submitted after the deadline will be rejected.

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

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

E-mail address: [INTPA-173998@ec.europa.eu](mailto:INTPA-173998@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 full applications.

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

**No individual replies will be given to questions.** All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the website of DG International Partnerships , as the need arises.

[https://international-partnerships.ec.europa.eu/index\\_en](https://international-partnerships.ec.europa.eu/index_en)

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 [INTPA-SUPPORT-SERVICES@ec.europa.eu](mailto:INTPA-SUPPORT-SERVICES@ec.europa.eu) **via the online support form in PROSPECT**. Please note that the working languages of the IT support are English, French and Spanish. Therefore users are invited to send their questions in English, French or Spanish should they wish to benefit from an optimum response time.

## **2.3. EVALUATION AND SELECTION OF APPLICATIONS**

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

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

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

During the administrative check the following will be assessed:

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

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

The concept notes will receive an overall score out of 50 using the breakdown in the evaluation grid below. The evaluation will also check on compliance with the instructions on how to complete the concept note, which can be found in 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 |
|---|---------------|
| <b>1. Relevance of the action</b>   | <b>20</b>     |
| 1.1. How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)? | 5             |
| 1.2. How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?  | 5             |
| 1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?  | 5             |
| 1.4. Does the proposal contain particular added-value elements (e.g. innovation, best practices) and the other additional elements indicated under 1.2. of the guidelines for applicants?   | 5             |
| <b>2. Design of the action</b>  | <b>30</b>     |
| 2.1. How coherent is the overall design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results?   | 5x2**         |
| 2.2. Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?   | 5             |
| 2.3. Does the design take into account external factors (risks and assumptions)?  | 5             |
| 2.4. Are the activities feasible and consistent in relation to the expected results (including timeframe)? Are results (output, outcome and impact) realistic?  | 5             |

|  |           |
|--|-----------|
| 2.5. To which extent does the proposal integrate relevant cross-cutting elements such as environmental/climate change issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, youth, combating HIV/AIDS (if there is a strong prevalence in the target country/region)? | 5         |
| <b>Maximum total score</b>   | <b>50</b> |

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

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

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

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

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant.

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

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

Firstly, the following will be assessed:

- If the submission deadline has been met. Otherwise, the application will automatically be rejected.
- If the full application satisfies all the criteria specified in the checklist (Annex A.2, Instructions). This includes also an assessment of the eligibility of the action. If any of the requested information is missing or is incorrect, the application may be rejected on that **sole** basis and the application will not be evaluated further.

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

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

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

For the purpose of the evaluation of the financial capacity, lead applicants must ensure that the relevant information and documents (i.e. accounts of the latest financial year and external audit report, where applicable) are up to date either in their PADOR profile or when submitting the requested documents with PADOR registration form. If the information and documents requested 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.

*Scoring:*

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

## Evaluation grid

| Section   | Maximum Score |
|---|---------------|
| <b>1. Financial and operational capacity</b>  | <b>20</b>     |
| 1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient in-house experience of project management?  | 5             |
| 1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical in-house 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 in-house capacity (including staff, equipment and ability to handle the budget for the action)?  | 5             |
| 1.4. Does the lead applicant have stable and sufficient sources of finance?   | 5             |
| <b>2. Relevance of the action</b>   | <b>20</b>     |
| 2.1. How relevant is the proposal to the objectives and priorities of the call for proposals and to the specific themes/sectors/areas or any other specific requirement stated in the guidelines for applicants? Are the expected results of the action aligned with the priorities defined in the guidelines for applicants (section 1.2)? | 5             |
| 2.2. How relevant is the proposal to the particular needs and constraints of the target country(ies), region(s) and/or relevant sectors (including synergy with other development initiatives and avoidance of duplication)?  | 5             |
| 2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs (as rights holders and/or duty bearers) and constraints been clearly defined and does the proposal address them appropriately?  | 5             |
| 2.4. Does the proposal contain particular added-value elements (e.g. innovation, best practices) and the other additional elements indicated under 1.2. of the guidelines for applicants?   | 5             |
| <b>3. Design of the action</b>  | <b>15</b>     |
| 3.1. How coherent is the design of the action? Does the proposal indicate the expected results to be achieved by the action? Does the intervention logic explain the rationale to achieve the expected results? Are the activities proposed appropriate, practical, and consistent with the envisaged outputs and outcome(s)?               | 5             |
| 3.2. Does the proposal/Logical Framework include credible baseline, targets and sources of verification? If not, is a baseline study foreseen (and is the study budgeted appropriately in the proposal)?  | 5             |
| 3.3. Does the design reflect a robust analysis of the problems involved, and the capacities of the relevant stakeholders?   | 5             |
| <b>4. Implementation approach</b>   | <b>15</b>     |
| 4.1. Is the action plan for implementing the action clear and feasible? Is the timeline realistic?  | 5             |

|   |            |
|---|------------|
| 4.2. Does the proposal include an effective and efficient monitoring system? Is there an evaluation planned (previous, during or/and at the end of the implementation)?   | 5          |
| 4.3. Is the co-applicant(s)'s and affiliated entity(ies)'s level of involvement and participation in the action satisfactory?   | 5          |
| <b>5. Sustainability of the action</b>  | <b>15</b>  |
| 5.1. Is the action likely to have a tangible impact on its target groups?   | 5          |
| 5.2. Is the action likely to have multiplier effects, including scope for replication, extension capitalisation on experience and knowledge sharing?  | 5          |
| 5.3. Are the expected results of the proposed action sustainable?- Financially (e.g. financing of follow-up activities, sources of revenue for covering all future operating and maintenance costs)- Institutionally (will structures allow the results of the action to be sustained at the end of the action? Will there be local 'ownership' of the results of the action?)- At policy level (where applicable) (what will be the structural impact of the action — e.g. improved legislation, codes of conduct, methods) - Environmentally (if applicable) (will the action have a negative/positive environmental impact?) | 5          |
| <b>6. Budget and cost-effectiveness of the action</b>   | <b>15</b>  |
| 6.1. Are the activities appropriately reflected in the budget?  | 5          |
| 6.2. Is the ratio between the estimated costs and the expected results satisfactory?  | 5x2**      |
| <b>Maximum total score</b>  | <b>100</b> |

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

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

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

#### *Provisional selection*

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

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

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

- The declaration by the lead applicant (Section 5 of Annex A.2) 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 Section 2.1.1.

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

The lead applicant shall submit the documents listed in section 2.2.5, together with the full application.

In addition, 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 via PROSPECT:

1. **Declaration on honour:** the lead applicant as well as all co-applicants and affiliated entities shall fill in and sign the declaration on honour (Annex H) certifying that they are not in one of the exclusion situations (see Section 2.6.10.1 of the PRAG) where the amount of the grant exceeds EUR 15 000. Please note that the declaration on honour should be submitted via PROSPECT.
2. **Self-evaluation questionnaire on SEA-H:** the lead applicant as well as all co-applicants and affiliated entities shall fill in the self-evaluation questionnaire assessing the organisation's internal policy and procedure against sexual exploitation, abuse and harassment (SEA-H) (Annex L) where the amount of grant exceeds EUR 60 000 (see Section 2.5.6 of the PRAG)<sup>35</sup>. Please note that the self-evaluation questionnaire on SEA-H should be submitted via PADOR.

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. Therefore, please check regularly your PROSPECT profile, taking into account the indicative timetable below. Please note that the lead applicant is the intermediary for all communications between applicants and the Contracting Authority during the procedure.

An applicant believing that it has been harmed by an error or irregularity during the award process may lodge a complaint. See further Section 2.12 of the of the PRAG.

Applicants who were unsuccessful following the **Administrative Check** of the procedure wishing to obtain further information should send their request by letter, indicating the reference of the call for proposals and the reference allocated to the proposal, to:

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<sup>35</sup> Applicants, co-applicants and affiliated entities who are (i) natural persons (ii) pillar-assessed entities and (iii) governments and other public bodies do not have to submit the self-evaluation questionnaire.

European Commission Directorate-General for International Partnerships  
Unit R.6 - Finance and Contracts for Centralised operations  
 Attn. Head of Unit L-41 03/110  
 Avenue du Bourget, 1 B-1140 Brussels BELGIUM

Applicants who were unsuccessful following the **Technical evaluation of the procedure or the Eligibility check** wishing to obtain further information should send their request, by letter indicating the reference of the call for proposals and the reference allocated to the proposal, to:

European Commission  
 Directorate-General for International Partnerships  
Unit G.3 - Youth, Education and Culture  
 Attn. Head of Unit L-41 06/130  
 Avenue du Bourget, 1 B-1140 Brussels BELGIUM

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

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

|                                    |
|------------------------------------|
| <b>2.5.2. Indicative timetable</b> |
|------------------------------------|

|  | <b>DATE</b>    | <b>TIME</b>    |
|--|----------------|----------------|
| <b>1. Information meeting</b>  | Not applicable | Not applicable |
| <b>2. Deadline for requesting any clarifications from the Contracting Authority</b>                    | 14/10/2022     | 16 :00         |
| <b>3. Last date on which clarifications are issued by the Contracting Authority</b>                    | 24/10/2022     | -              |
| <b>4. Deadline for submission of concept notes</b>   | 04/11/2022     | 16 :00         |
| <b>5. Information to lead applicants on administrative checks and concept note evaluation (Step 1)</b> | January 2023   | -              |
| <b>6. Invitations to submit full applications</b>  | January 2023   | -              |
| <b>7. Deadline for submission of full applications</b>   | March 2023     | -              |
| <b>8. Information to lead applicants on the evaluation of the full applications (Step 2)</b>           | May 2023       | -              |
| <b>9. Notification of award (after the eligibility check) (Step 3)</b>                                 | June 2023      | -              |
| <b>10. Contract signature</b>  | September 2023 | -              |

All times are in the time zone of the country of the Contracting Authority.

This indicative timetable refers to provisional dates (except for dates 2, 3, and 4) and may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the web site where the call was published: website of DG International Partnerships [https://ec.europa.eu/international-partnerships/home\\_en](https://ec.europa.eu/international-partnerships/home_en) or Funding & Tender opportunities (F&T Portal) <https://ec.europa.eu/info/funding-tenders/opportunities/portal/screen/home>.

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

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

### **Implementation contracts**

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

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

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

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

### 3. LIST OF ANNEXES

#### DOCUMENTS TO BE COMPLETED

Annex A: Grant application form (Word format)

A.1 – Concept note form

A.2 – Full application form

Annex B: Budget (Excel format)

Annex C: Logical framework (Excel format)

Annex D: Legal entity sheet

Annex E: Financial identification form

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

#### DOCUMENTS FOR INFORMATION

Annex G: Standard grant contract

- Annex II: general conditions
- Annex IV: contract award rules
- Annex V: standard request for payment
- Annex VI: model narrative and financial report
- Annex VII: model report of factual findings and terms of reference for an expenditure verification of a EU financed grant contract for external action
- Annex VIII: model financial guarantee
- Annex IX: standard template for transfer of ownership of assets
- Annex X: Financial support to third parties as main purpose of the action (for Lot 3 and 5c only)

Annex H: Declaration on Honour

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

Annex K: Guidelines for assessing simplified cost options

Annex L: Self-evaluation questionnaire on SEA-H

Annex M: List of countries and territories as referred to in Section 2.1.1 *Eligibility of applicants* and section 2.1.3. *Financial support to third parties*

Annex N: List of countries and territories as referred to in Section 2.1.3. d) Location

#### Useful links:

##### Daily allowance rates (per diem)

[https://international-partnerships.ec.europa.eu/funding/guidelines/managing-project/diem-rates\\_en](https://international-partnerships.ec.europa.eu/funding/guidelines/managing-project/diem-rates_en)

##### Project Cycle Management Guidelines

[https://ec.europa.eu/international-partnerships/funding/managing-project\\_en](https://ec.europa.eu/international-partnerships/funding/managing-project_en)

##### The implementation of grant contracts

##### A Users' Guide

<https://wikis.ec.europa.eu/display/ExactExternalWiki/eCompanion>

##### Financial Toolkit

[https://ec.europa.eu/international-partnerships/financial-management-toolkit\\_en](https://ec.europa.eu/international-partnerships/financial-management-toolkit_en)

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

\* \* \*