



European Commission

Thematic Programme for Environment and sustainable management of natural resources, including energy

Restricted Call for Proposals

Guidelines for grant applicants

Budget line 21 04 01

Reference: EuropeAid/128320/C/ACT/Multi

Deadline for submission of Concept Notes:

01/10/2009

Notice

Evaluation grids and applications forms have been modified under this call so as to give more weight to relevance in the Concept Note evaluation. Relevance will therefore constitute the major criterion in pre-selection. Relevance will not be evaluated again when assessing the Full Application. **It is therefore of utmost importance that applicants use the correct application form for this call.**

To be downloaded from the EuropeAid website at:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>

Prior registration by applicants and partners in EuropeAid's on-line database, PADOR, is obligatory under the present call for proposals (see section 2.2 below for details).

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

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LIST OF ACRONYMS

DCI	Development Cooperation Instrument
DRR	Disaster Risk Reduction
EC	European Commission
EEA	European Economic Area
EIB	European Investment Bank
EIF	European Investment Fund
ENPI	European Neighbourhood Partnership Instrument
ENRTP	Thematic Programme Environment and Sustainable Management of Natural Resources, including Energy
ERA	European Research Area
EU	European Union
FLEGT	Forest Law Enforcement, Governance and Trade
INOGATE	Interstate Oil and Gas Transport to Europe
MDG	Millennium Development Goal
MEA	Multi-lateral Environment Agreement
MEDEMIP	Euro-Mediterranean Energy Market Integration Project
MEDENEC	Energy Efficiency in the Construction Sector in the Mediterranean
MPA	Marine Protected Area
MSP	Mediterranean Solar plan
NSA	Non-State Actor
OCTs	Overseas Countries and Territories
OECD/DAC	Organisation for Economic Co-operation and Development / Development Assistance Committee
PADOR	Potential Applicant Data On-Line Registration
PRAG	Practical Guide to contract procedures for EC external actions
REDD	Reduced Emissions from Deforestation and Degradation
SIDS	Small Island Development States
TSP	Thematic Strategy Paper
VPA	Voluntary Partnership Agreement

1. THE PROGRAMME FOR THE ENVIRONMENT AND SUSTAINABLE MANAGEMENT OF NATURAL RESOURCES, INCLUDING ENERGY

1.1 BACKGROUND

On 18 December 2006 the European Parliament and the Council adopted Regulation (EC) N° 1905/2006¹ (OJ L 378 of 27 December 2006, pp.41-71). This Regulation applies from 1 January 2007 to 31 December 2013 and establishes a financing instrument for development cooperation (hereafter referred to as the DCI Regulation) and forms the legal basis for the Commission to manage certain budget lines/items related to the implementation of certain external relations geographical and thematic programmes.

In particular, Article 13 of the DCI Regulation lays down the basis for the strategic multi-annual programme on "Environment and sustainable management of natural resources, including energy" (hereafter referred to as the ENRTP Strategy Paper). The ENRTP Strategy Paper 2007-2010 was adopted by the Commission on 20 June 2007² and provides a multi-annual framework for commitment of €450 million over the 4 years. The Strategy is based on the recognition that a healthy environment and sound management of natural resources are crucial for lasting poverty reduction, while strong international environmental governance is required to reinforce the sustainability of global development. Through the ENRTP, the EU has dedicated resources to help developing countries and partner organisations address environmental and natural resource management issues and meet their obligations under Multi-lateral Environment Agreements (MEAs) and to take international policy leadership.

Country and regional programmes are the prime instruments for cooperation with third countries, and most support for the environment and the sustainable management of natural resources, including energy, should be channelled through them. This applies especially for issues that are local or regional in nature. However, a thematic approach is an essential tool for a more coordinated, coherent and effective EU approach and offers great scope to complement and add value to the geographical instruments. The thematic programme should therefore lead to actions in partner countries and regions which are additional to and coherent with actions funded under the geographical instruments.

Although environmental problems occur at all levels, the ENRTP will mainly focus on the global, regional and transboundary level.

The ENRTP will help to achieve the EC's overall sustainable development objective, as laid down in the EU Sustainable Development Strategy,³ and as promoted by the European Consensus on Development,⁴ the 6th Environmental Action Programme,⁵ the European Neighbourhood Policy and the European Union's energy policy strategy, notably the EU external

¹ http://ec.europa.eu/europeaid/where/worldwide/environment/documents/dci_legal_basis_en.pdf

² http://ec.europa.eu/development/policies/9interventionareas/environment/funding/enrtp/enrtp_en.cfm

³ See European Council Conclusions of June 2006 on COM(2005)658 (http://ec.europa.eu/sustainable/sds2006/index_en.htm)

⁴ Joint Statement of 22 November 2005 agreed by the European Parliament, the Council and the Commission, available at: http://ec.europa.eu/development/icenter/repository/european_consensus_2005_en.pdf

⁵ Decision 1600/2002/EC of the European Parliament and of the Council, available at: <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2002:242:0001:0015:EN:PDF>

energy policy paper⁶ endorsed by the European Council and in the work of the International Dimension of the European Research Area (ERA) in support of the Lisbon Strategy.

The new priority 5 under the ENRTP on Sustainable Energy will contribute more concretely to addressing the request from the European Council of March 2007 on development of an external energy policy as it is outlined in the Action Plan for Energy Policy for Europe.

1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

All the documents referred to below can be consulted on EuropeAid's "Environment and Natural Resources" website at http://ec.europa.eu/europeaid/where/worldwide/environment/index_fr.htm (Working documents)

1.2.1 Objectives of the Programme (2007–2013)

The principal objective of the ENRTP is set out in Article 13 of the DCI Regulation⁷ as follows:

The objective of the thematic programme on environment and sustainable management of natural resources, including water, and energy, shall be to integrate environmental protection requirements into the Community's development and other external policies as well as to help promote the Community's environmental and energy policies abroad in the common interest of the Community and partner countries and regions.

1.2.2 Multi-annual programming (2007–2010)

The Thematic Strategy Paper (TSP) on environment and sustainable management of natural resources, including energy (ENRTP) was adopted on 20 June 2007 by the Commission⁸.

This four-year strategy addresses the following challenges, which have a profound effect on the lives of poor people: rapidly degrading key ecosystems, climate change, poor global environmental governance and inadequate access to and security of energy supply. The strategy is based on the **following five priorities**:

1. assisting developing countries to make better progress on integrating environmental sustainability (the neglected 7th MDG) in decision making and thus underpin achievement of all the Millennium Development Goals by building capacity, supporting the involvement of civil society and developing innovative approaches;
2. promoting implementation of Community initiatives and agreed commitments (including those under Multilateral Environmental Agreements) on environment and sustainable management of natural resources, including resource efficiency, energy at international and regional level and across national boundaries;
3. improving environmental integration and promoting coherence in EU policies affecting third countries through methodological work and enhancing expertise;
4. promoting EU environmental policies abroad by strengthening international environmental governance, negotiation and monitoring, assisting the operation of MEAs

⁶ Joint paper European Commission, High Representative for common foreign and security policy, "An external policy to serve Europe's energy interests – facing external energy risks", European Council, 15-16 June 2006,

http://ec.europa.eu/dgs/energy_transport/international/doc/paper_solana_sg_energy_en.pdf

⁷ See footnote 1.

⁸ See footnote 2.

- and other processes, supporting coherent international policy development across the three pillars of sustainable development and
5. Promoting EU energy policies abroad, in particular sustainable energy options in partner countries and regions by support for policy development and through innovative funding mechanisms.

<i>1.2.3. Programming – Priority issues for the present Call for Proposals</i>
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In the context of this call, only three ENRTP Priorities will be open. Applications should be relevant to at least one of these three Priority areas of the Thematic Strategy ENRTP referred to below:

ENRTP Priority 1. Working upstream in assisting developing countries to achieve the MDG7 on environmental sustainability;

ENRTP Priority 2. Promoting implementation of EU initiatives and internationally agreed commitments;

ENRTP Priority 5. Support for sustainable energy options in partner countries and regions.

In each ENRTP Priority, one or several lots are open. It is brought to the attention of the applicants that the geographical coverage and the minimum and maximum size of the grant vary from one lot to another. An application must therefore refer to one and only one of these lots and clearly indicate the number and title of the lot selected. Only one proposal per lot is allowed. The evaluation of a Concept Note / Full Proposal will be done in relation to its relevance to the lot under which it was submitted.

Actions will be selected, inter alia, on the basis of their expected results and potential effectiveness. Each proposal must therefore have its own performance and success indicators, which must be objective and verifiable. Furthermore, in addition to environmental objectives, actions **must clearly contribute to poverty alleviation**, regardless of the lot under which they are submitted.

Priority in the selection procedure will be given to innovative actions and actions promoting global or inter-regional or regional or transboundary approaches (see section 2 below for the definition of "regional" and "global or inter-regional"). Cross-border collaboration or international collaboration will be considered as important criteria during the evaluation process.

Proposed actions should be consistent with the relevant EC Country and Regional Strategies and complementary (avoiding overlaps) to any other activities in the respective ENRTP priority areas of cooperation, which are taking place in the targeted regions.

Proposed actions should contain relevant added-value elements, such as promoting gender equality, equal opportunities, job creation, migration reduction, etc. (see the evaluation grid of the Concept Note - criterion 1.4, under step 2 of 2.3 below).

Minimum requirements regarding partnership are detailed at section 2.1.2. Adherence to these minimum requirements and the quality of the proposed partnership will be assessed at the Full Application stage (see section 2.3 below – Full application evaluation grid, Step 4).

The lots and the different actions which will be funded under the various lots are summarised below, together with the results that are expected from these actions and the indicators that the European Commission will use to verify their achievement.

ENRTP Priority 1 / Lot 1: Promoting environmental sustainability

Type of actions eligible for financing:

Conceptual and analytical work on the links between poverty and the environment to quantify and raise awareness of the linkages between poverty, human health, disaster management and environment in order to promote greater availability of high quality, relevant data and indicators for decision-makers through south-south or north-south cooperation, twinning, advocacy training, networking, and sharing of experiences, all in the context of international forums such as the Poverty and Environment Partnership, OECD/DAC Environet, Poverty and Conservation Learning Group and other relevant groupings.

Expected results: Improved understanding of linkages between poverty, human health, disaster management and environment for decision makers.

Possible Indicators:

- Number of Studies produced and published in relevant international forums on the linkages between poverty, human health, disaster management and the environment.
- Results presented in international and national seminars and conferences, in particular policy oriented events.

Geographic location: All countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

ENRTP Priority 2 / Lot 2 : Climate Change in non-ENPI⁹ countries¹⁰

Type of actions eligible for financing:

Actions in island or coastal regions that support local authorities or authorities at sub-national level in designing and implementing local climate change action plans, dealing primarily with adaptation and disaster risk reduction (DRR) but potentially also including mitigation components (low-carbon developing paths), in particular through:

- Assessment of vulnerability
- Capacity development of the different stakeholders
- Design and implementation of multi-sector action plans/strategies, including networking and transfer of technologies
- Cooperation on a coordinated approach with neighbouring regions/countries on disaster risk reduction.

Expected results:

- Better understanding of actual and practical ways of addressing climate change mitigation and adaptation, in particular in relation to the integration of climate change in beneficiary countries' development strategies and activities at the local/decentralized levels.
- Enhanced development and adoption of suitable technologies/methodologies for adaptation and mitigation.
- Better understanding and development of pilot experiences on the integration of climate change in planning at the local level.

⁹ ENPI: European Neighbourhood Partnership Instrument http://ec.europa.eu/world/enp/index_en.htm

¹⁰ Please also refer to EC Communication COM(2007)540 "Building a global climate change alliance" http://ec.europa.eu/development/icenter/repository/env_cc_GACC_com2007_0540_en.pdf

- Enhanced capacities of local authorities in understanding climate change issues, planning and integration in local development strategies and plans.
- Enhanced capacities of authorities to work with other local authorities on disaster risk reduction.
- Enhanced capacity to disseminate results to stakeholders and gain their cooperation.

Possible Indicators:

- Number of local authorities integrating climate change in their plans and strategies.
- Number of networks on climate change and DRR set up between local entities.
- Number of Climate action plans and adaptation activities at local level.
- Number of pilot projects adopting new technologies developed/transferred or deployed at the local level with EC funding for mitigation.
- Increased penetration and deployment of new low-carbon technologies at the local level (% of coverage or share of energy produced over total for the area).
- Number of local authorities taking part in training and capacity building activities.
- Estimates of external (non-government) participants' degree of cooperation in activities.

Geographic location: All non-landlocked and non-ENPI countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines), except Cuba (for which a separate call for proposals is envisaged for this theme). Actions must take place in island or coastal regions of such countries.

Size of EC grant: Minimum €750 000 - Maximum €2 500 000

ENRTP Priority 2 / Lot 3: Forests

Type of actions eligible for financing:

Proposals should address deforestation and forest degradation through targeting improvements in forest law enforcement & governance AND development of finance/incentive mechanisms that can deliver at local level, taking into account broader land use issues, where relevant, and provide benefits to forest-dependent local and indigenous people. In the context of this objective, proposals will:

- Aim to draw from practical local level experience and seek to influence national, regional and international policy responses to deforestation and forest degradation.
- Draw from experiences in protecting and managing forests sustainably and be targeted at reversing negative trends in degradation and deforestation.

Proposals should be guided by the recent Commission Communications on Deforestation COM(2008)645¹¹ and the Global Climate Change Alliance COM(2007)540¹². Communication to disseminate lessons should be framed as a key element of the action, not being limited to project reporting tasks.

Expected results:

- Countries with actions funded under the call develop clear and credible framework for future financing under REDD climate change agreement.
- Reduction in deforestation rates.

¹¹ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2008:0645:FIN:EN:PDF>

¹² http://ec.europa.eu/development/icenter/repository/env_cc_GACC_com2007_0540_en.pdf

- Proposals contribute to the development of effective cross-sectoral policies to reduce deforestation and combat forest degradation.
- National level policies influence the international forest policy and climate change agendas.

Possible Indicators:

- Number of countries with national strategy and planning processes addressing forest governance, fiscal policies and the challenges of establishing mechanisms to stop deforestation, influenced by the project.
- Number of pilot actions addressing avoided deforestation and forest degradation.
- Number of projects piloting innovative financing mechanisms and financial contributions raised.

Geographic location: All countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €750 000 - Maximum €2 500 000

ENRTP Priority 2 / Lot 4: Forest Law Enforcement, Governance and Trade (FLEGT)

Type of actions eligible for financing:

1. Support to the participation of civil society organisations, indigenous people organisations and other non state actors in national processes for FLEGT Voluntary Partnership Agreement (VPA) preparation, negotiation and/or implementation.
2. Support to the implementation of the EU FLEGT Action Plan through private sector initiatives which promote the production of and trade in forest products from legal and sustainable sources and prevention of the entry of illegally harvested timber into supply chains *inter alia* through business to business links, support for the development of policies and practices in financial institutions, private sector procurement policies.

All proposed actions should include specific provisions addressing communication and awareness-raising. Proposals should include provision for participation in annual information exchange meetings in Brussels.

Expected results:

- Positive and focused civil society and private sector contributions to the development and negotiations of VPA in more countries.
- Concerns of non state actors, including indigenous people integrated into the actions of FLEGT VPAs.
- Effective implementation of FLEGT VPAs as a result of greater societal involvement.
- Market share of tropical timber forest products from countries with FLEGT VPAs maintained or increased in EU.
- Increasing numbers of countries entering into dialogue on FLEGT VPAs.

Possible Indicators:

- Number of new countries engaging in dialogue on FLEGT VPAs.
- Number of VPAs negotiated with active stakeholders' participation / contribution.
- Number of transparency initiatives for public information in forest sector.
- Market share of tropical timber forest products from countries with FLEGT VPAs.
- Greater coverage in media of forest governance and law enforcement.
- Number of private sector initiatives promoting the establishment of legality assurance systems.

Geographic location: All countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines). However, for the first mentioned action, the proposal must include at least one the following countries where VPA processes are underway: Ghana, Cameroon, Republic of Congo, Indonesia, Malaysia, Liberia, Central African Republic, Gabon, Democratic Republic of Congo, Vietnam, Colombia and Ecuador.

Size of EC grant: Minimum €500 000 - Maximum €2 000 000

ENRTP Priority 2 / Lot 5: Land Biodiversity in non-ENPI countries - Ecosystems services

Type of actions eligible for financing:

Actions to substantially strengthen support for biodiversity conservation in protected areas and buffer zones for maintenance and improvement of ecosystem services to the benefit of local populations. Innovative financing schemes (such as payment for ecosystem services) must be part of the proposals.

Expected results:

- Reducing / halting the loss of biodiversity and improvement in the services provided by the ecosystems in specific zones; increased benefits for local population through maintenance and enhancement of biodiversity and ecosystems services.
- Enhanced development and adoption of innovative financing instruments for increased sustainability of biodiversity conservation funding.
- Strengthened local capacities for conservation and sustainable use of biodiversity and ecosystem services.

Possible Indicators:

- Changing trends in the loss of endangered species in target areas.
- Number of projects piloting innovative financing mechanisms for payments for ecosystem services, and financial contribution generated by these schemes.

Geographic location: South-East Asian countries eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €2 500 000

ENRTP Priority 2 / Lot 6: Land Biodiversity in non-ENPI countries - Invasive species

Type of actions eligible for financing:

Actions to support field pilot activities and models to limit the spread and reduce the impact of invasive species.

Expected results: Improved information and understanding of the dynamics of invasive species; development of replicable models to limit their spread and social, environmental and economic impact.

Possible Indicators:

- Change in prevalence and impact of invasive species in participating project areas.
- Number and quality of schemes to limit the spread of invasive species.
- Models available and used to understand the dynamics and impact of invasive species.

Geographic location: Small Island Development States (SIDS) and Overseas Countries and Territories (OCT's) (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €2 500 000

ENRTP Priority 2 / Lot 7: Desertification

Type of actions eligible for financing:

Pilot actions highlighting the role of sustainable land use and soil management for mitigation and adaptation to climate change in arid, semi-arid and dry sub-humid ecological zones (including preservation and enhancement of soil organic matter as linked to sustainable agriculture and agro-forestry, degraded land rehabilitation).

Expected results: Improved resilience of rural communities in most vulnerable dryland areas in developing countries in relation to the effects of droughts, land degradation and climate change.

Possible Indicators:

- Trend in number of farmers using soil conservation/land management practices.
- Reduction in land area affected by land degradation.
- Percentage of cultivated land under agro-forestry/sustainable agriculture practices in target areas.
- Livelihood/income of farmers/households participating in selected projects.

Geographic location: All countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €2 500 000

ENRTP Priority 2 / Lot 8: Fisheries

Type of actions eligible for financing:

Actions with a regional or global scope on:

- Supporting the conservation of marine resources through the effective management of Marine Protected Areas (MPAs) while contributing to poverty reduction.
- Promoting the implementation of the ecosystems approach to fisheries.

Expected results:

- Improved contribution of MPAs to the regeneration of fish stocks and poverty alleviation.
- Enhanced cooperation mechanisms and information/experience exchange promoted within regions.
- Better understanding of the ecosystem approach to fisheries and demonstrated added value of this concept in the fisheries management.
- Enhanced capacity for applying the ecosystem approach to fisheries.

Possible Indicators:

- Fish and other marine population in areas around target MPAs.
- Livelihoods/income of household depending on fishing in selected projects.
- Number of capacity building and awareness raising activities with policy makers and fishermen to promote an ecosystem approach to fisheries.
- Number of ecosystem approaches to fisheries management initiated.
- Fish and other marine population in areas around target MPAs.

Geographic location: All countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

ENRTP Priority 2 / Lot 9: Sustainable production / consumption and waste

Type of actions eligible for financing:

Actions focussing on improving resource efficiency in waste streams of production and consumption, in particular:

- Solid waste from urban areas, with emphasis on recycling and energy production opportunities and multiplier effects.
- End of life electronic equipment, with emphasis on recycling opportunities or safe disposal.

Expected results:

- Increased capacity for, and support to, the adoption of integrated solid waste management (collection, treatment and disposal), with particular emphasis on waste recycling as a job/livelihood generating opportunity, while at the same time protecting the health and safety of workers.
- Improved management of e-equipment and e-waste, with particular emphasis on reducing its environmental and health impacts, while at the same time generating new income opportunities through product and/or component recycling.

Possible Indicators:

- Share of solid urban waste collected and properly disposed of, in the area of the projects.
- Percentage of urban solid waste recycled in target area under safe conditions.
- Reduction in the number of accidents and fatalities around informal urban solid waste collection/recycling activities.
- Number of jobs generated in the target zone through improved collection/recycling of urban solid waste, including e-waste.

Geographic location: Non-Asian and non-ENPI countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €2 500 000

ENRTP Priority 2 / Lot 10: Biodiversity and Climate Change¹³ in ENPI countries

Type of actions eligible for financing:

- Actions that support local authorities or authorities at sub-national level in designing and implementing local climate change action plans, dealing primarily with adaptation and disaster risk reduction (DRR) but potentially also including mitigation components (low-carbon developing paths), in particular through 1) Assessment of vulnerability; 2) Capacity development of the different stakeholders; 3) Design and implementation of multi-sector

¹³ Half of the financial envelope allocated to this lot and in particular for actions targeting the ENPI South region is subject to the lifting by the Budgetary Authority of the reserve as referred to in Annex J, annexed to the 2009 Annual Action Programme implementing the ENRTP for the period 2007-2010, available at:

http://ec.europa.eu/europeaid/where/worldwide/environment/documents/2009_aap_enrtp_en.pdf

action plans/strategies, including networking and transfer of technologies and 4) Cooperation on a coordinated approach with neighbouring regions/countries on disaster risk reduction;

- Awareness raising, information, communication and education activities related to Climate Change and Biodiversity;
- Pilot projects and activities at the field level, to be linked with national priorities, commitments taken under the UN Conventions, and strategies in the two intervention areas;
- Ensuring that land use management and water management take into account local climate change scenarios. This should be done in a mutually supportive way in order to strengthen ecosystem resilience (estuary, wetlands, swampy zones, etc.) while reducing the vulnerability of beneficiary countries to climate change. This includes facilitating collaboration among concerned persons and groups, followed by joint planning and implementation;
- Development of green infrastructure, e.g. maintenance and restoration of wetlands (e.g. for flood protection, provision of habitat) and forests (e.g. for water regulation, provision of habitat) so as to increase resilience of livelihoods and ecosystems against climate change and also contribute to climate change mitigation.

Priority will be given to actions that are complementary to actions financed under the ENPI geographic instrument, including its regional and inter-regional programmes, avoiding duplication and overlapping.

Expected results:

- Better understanding of actual ways of addressing climate change mitigation and adaptation, in particular in relation to the integration of climate change in beneficiary countries' development strategies and activities at the local/decentralized levels.
- Enhanced development and adoption of suitable technologies/methodologies for adaptation and mitigation.
- Better understanding and development of pilot experiences on the integration of climate change in planning at the local level.
- Enhanced capacities of local authorities in understanding climate change issues, planning and integration in local development strategies and plans.
- Institutional capacity and coordination among stakeholders and partners is strengthened.
- Exchange of best practices is promoted.
- Projects and field activities are implemented in accordance with the regional/national/local strategies and plans in the two intervention areas.
- Provision of valuable insights, raised awareness and strengthened capacity, contributing to the understanding of the role of biodiversity and ecosystems with regard to the climate system and thereby contribute to the continuous improvement of the measures undertaken.
- Contribution to the improvement of livelihoods, and preservation of biodiversity and healthy ecosystems capable of providing the services we depend upon into the future, taking into account the latest climate change scenarios.

Possible Indicators:

- Number of local authorities integrating climate change in their plans and strategies
- Number of Climate Change action plans and adaptation activities at local level
- Number of projects or field activities financed falling within regional, national or local strategies or plans in the two intervention areas.
- Number of press releases, TV programmes, radio talks, interviews released about Climate Change and Biodiversity.
- Number of partnerships/networks between stakeholders established and being implemented.
- Number of persons having been involved in awareness raising and/or education activities.

- Number of climate change integrated land/water resource management plans developed thanks to the projects.
- Percentage of rehabilitated ecosystem (forests; wetlands; etc.) in the area of implementation of selected projects.

Geographic location: Countries eligible under the ENPI (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

ENRTP Priority 5 / Lot 11: Sustainable energy for Sub-Saharan Africa

Type of actions eligible for financing:

Actions must aim to support the implementation of the **Africa-EU Energy Partnership** through development of regional energy markets, including capacity building to African regional institutions. For this action, twinning between European and African regional institutions (for example between agencies for energy management, regulators, etc.) might be an appropriate mechanism.

Expected results:

- Increased capacity for the development and implementation of sustainable regional energy policies and regional energy markets.
- Adoption at regional and national levels of open and incentivising legislation as regards regional energy markets.
- Increase of energy exchanges.

Possible Indicators:

- Number of regional and national institutions benefitting from capacity building.
- Number of participating countries which modify their regulations in the sense of opening and regulating the regional energy markets.
- Percentage increase of energy exchanges.

Geographic location: Sub-Saharan African countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

ENRTP Priority 5 / Lot 12: Sustainable energy for South America

Type of actions eligible for financing:

Actions must aim to enhance energy security at the regional and national level through support to regional dialogue, relevant feasibility studies, regional mapping exercises of scenarios and opportunities for regional and national clean energy technology deployment and interconnection, etc. in particular with the objective of:

- Supporting the development of regional and national energy interconnections.
- Increasing use of clean energy technologies.

Projects addressing biofuels or bioenergy should put special emphasis on the issue of sustainability.

Expected results:

- Progress towards the development of increased number of regional energy interconnections.

- Better deployment and increased use of clean energy technologies, including renewables and energy efficiency.
- Identification and preparatory works for the development of viable infrastructure projects in the identified fields.

Possible Indicators:

- New agreements on regional networks developed.
- Share of energy coming from renewables or low carbon sources.
- Improvements in energy efficiency (e.g. consumptions/GDP).

Geographic location: South American countries and territories eligible under the DCI Regulation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

ENRTP Priority 5 / Lot 13: Sustainable energy for the Mediterranean¹⁴

Type of actions eligible for financing:

Actions in support of sustainable energy and energy efficiency in the Southern Mediterranean partner countries as supported by the **Mediterranean Solar plan** (MSP) through innovative technology-transfer and demonstration projects in particular in remote and rural areas in order to:

- Promote clean, environmental friendly energy technologies, including for fossil fuels, as well as the use of renewable energy sources and energy savings and efficiency measures;
- Facilitate development of electricity interconnections in order to progress quickly in the development of renewable electricity trade in the Euro-Mediterranean region;
- Facilitate cooperation on technology aspects, including through a network of the relevant research and scientific institutions active in the field of solar energy, and disseminating to the relevant stakeholders¹⁵.

Priority will be given to actions that are complementary to actions financed under the ENPI geographic programme while not duplicating and not overlapping with them, in particular in respect to activities conducted under existing ENPI-financed energy programmes and projects (e.g. MEDEMIP, MEDENEC or the technical assistance for the preparation of the MSP).

Expected results:

- Increased use of renewable energy sources and improved energy efficiency and energy savings.
- Increased development and use of clean energy technologies.
- Improved access to sustainable energy in particular in remote and rural areas
- Development of policies, legislative and regulatory frameworks favouring development of solar energy.
- Increased knowledge and use of the relevant technologies in the area of solar energy, including for electricity generation.
- Development of a certain number of demonstration projects in the area of solar energy.

¹⁴ The financial envelope allocated to this lot and in particular for actions targeting the ENPI South region is subject to the lifting by the Budgetary Authority of the reserve as referred to in Annex J, annexed to the 2009 Annual Action Programme implementing the ENRTP for the period 2007-2010, available at: http://ec.europa.eu/europeaid/where/worldwide/environment/documents/2009_aap_enrtp_en.pdf

¹⁵ However, an action should not be constituted solely or mainly of research activities (see list of ineligible actions at 2.1.3).

Possible Indicators:

- Share of energy produced by renewable energy or low-carbon technologies.
- Energy efficiency improvement.
- Increase in energy supply from sustainable sources in particular to remote and rural areas.
- Number of participating countries adopting policies and regulatory framework which favour the development and use of solar energy technologies.
- Number of activities promoting cooperation on renewable energy technologies and the related regulatory framework.
- Number of demonstration projects successfully implemented.

Geographic location: Morocco, Tunisia, Algeria, Libya, Egypt, Jordan, Israel, Occupied Palestinian Territory, Syria, Lebanon (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

ENRTP Priority 5 / Lot 14: Sustainable energy for Eastern European Neighbourhood countries

Type of actions eligible for financing:

Actions enhancing **energy security** in the **Eastern European Neighbourhood and Partnership Instrument countries** through innovative technology-transfer and demonstration projects in particular in remote and rural areas in order to:

- Promote development of a better convergence of legislative and regulatory frameworks in the energy sector,
- Promote clean, environmentally friendly energy technologies, including for fossil fuels,
- Promote the use of renewable energy sources and energy savings and efficiency measures,
- Facilitate the development of energy infrastructures in support of the above objectives.

Priority will be given to actions that are complementary to actions financed under the ENPI geographic programme, while not duplicating and not overlapping with them, in particular in respect to activities conducted under existing ENPI-financed energy programmes and projects (e.g. under the INOGATE regional programme).

Expected results:

- Better convergence of legislative and regulatory frameworks in the energy sector.
- Increased use of renewable energy sources and improved energy efficiency and energy savings.
- Increased development and use of clean energy technologies.
- Improved access to sustainable energy in particular in remote and rural areas.
- Improved energy security in the region including with respect to energy infrastructures.

Possible Indicators:

- Participating countries reforming the energy sector in line with EU policies and standards.
- Share of energy produced by renewables or low-carbon technologies.
- Energy efficiency improvement.
- Increase in energy supply from sustainable sources in particular to remote and rural areas.
- Improvements in energy infrastructures reflecting the above objectives.

Geographic location: Ukraine, Belarus, Moldova, Georgia, Azerbaijan, Armenia, Russian Federation (see section 2.1.3 of the present guidelines).

Size of EC grant: Minimum €500 000 - Maximum €1 500 000

1.3 FINANCIAL ALLOCATION PROVIDED BY THE EUROPEAN COMMISSION

The indicative financial envelope foreseen for this call for proposals is EUR **62 650 000** from the 2009 budget. [Of this total allocation, an amount of EUR 4 050 000 is part of the reserve referred to in Annex J, annexed to the 2009 Annual Action Programme implementing the ENRTP for the period 2007-2010, available at:

http://ec.europa.eu/europeaid/where/worldwide/environment/documents/2009_aap_enrtp_en.pdf.

The commitment of this amount and its allocation to the call for proposals is subject to the lifting of the reserve by the Budgetary Authority.]

Subject to the decision of the Budgetary Authority and subsequent Commission Decision, an additional amount of the same order may be allocated to this Call for Proposals from the 2010 budget.

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

Size of grants and indicative allocation of funds per lot

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

Lot		Minimum and maximum amounts of EC grant	Indicative percentage and allocation of total available amount from 2009 budget
1	Promoting environmental sustainability	Minimum € 500 000 Maximum €1 500 000	6% ≈ €4m
2	Climate Change in non-ENPI countries	Minimum € 750 000 Maximum €2 500 000	18% ≈ €1 m
3	Forests	Minimum € 750 000 Maximum €2 500 000	20% ≈ €12.25m
4	Forest Law Enforcement, Governance and Trade (FLEGT)	Minimum € 500 000 Maximum €2 000 000	14% ≈ €9m
5	Land Biodiversity in non-ENPI countries - Ecosystems services	Minimum € 500 000 Maximum €2 500 000	7% ≈ €4.5m
6	Land Biodiversity in non-ENPI countries - Invasive species	Minimum € 500 000 Maximum €2 500 000	
7	Desertification	Minimum € 500 000 Maximum €2 500 000	6% ≈ €4m
8	Fisheries	Minimum € 500 000 Maximum €1 500 000	4% ≈ €2.5m
9	Sustainable production / consumption and waste	Minimum € 500 000 Maximum €2 500 000	6% ≈ €3.5m

Lot		Minimum and maximum amounts of EC grant	Indicative percentage and allocation of total available amount from 2009 budget
10	Biodiversity and Climate Change in ENPI countries ¹⁶	Minimum € 500 000 Maximum €1 500 000	6% ≈ €3.6m
11	Sustainable energy for Sub-Saharan Africa	Minimum € 500 000 Maximum €1 500 000	6% ≈ €3.8m
12	Sustainable energy for South America	Minimum € 500 000 Maximum €1 500 000	
13	Sustainable energy for the Mediterranean ¹⁷	Minimum € 500 000 Maximum €1 500 000	7% ≈ €4.5m
14	Sustainable energy for Eastern European neighbourhood countries	Minimum € 500 000 Maximum €1 500 000	

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

A grant may not exceed 80% of the total eligible costs of the action (see also section 2.1.4). Furthermore, a grant may not exceed 50% of the total eligible costs of the action when the applicant belongs to one of the following groups:

- International organisations;
- Public and parastatal bodies, local authorities and consortia or representative associations thereof, having an eligible nationality (see section 2.1.1 of these guidelines) other than those entities belonging to the beneficiary country(ies), as listed in section 2.1.3;
- Private sector organisations.

The balance (i.e. the difference between the total cost of the action and the amount requested from the EC) must be financed from the applicant's or partners' own resources, or from sources other than the European Community budget or the European Development Fund.

¹⁶ See footnote 13

¹⁷ See footnote 14

2. RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of actions financed under this call, in conformity with the provisions of the Practical Guide to contract procedures for EC external actions (PRAG).

The majority of terms used in the present guidelines are explained in the Glossary to the Practical Guide to contract procedures for EC external actions.

The afore-mentioned Practical Guide and the Glossary can be consulted at the following Internet address:

http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm.

In addition, the following definitions apply:

Partnership	the grouping of organisations, i.e. the applicant and its partners, for the purpose of implementing the proposed action
Applicant	the organisation responsible for submitting the application
Partner	member organisation of the partnership other than the applicant
Associate	organisation that plays an active role in the action but which cannot benefit from funding under the grant
Subcontractor	organisation contracted by the beneficiary in accordance with the appropriate procedures in order to execute specific tasks in implementing the action
Sub-granting	financial support that may be given to third parties by the beneficiary of the Community grant where the implementation of the action so requires, subject to the conditions laid down in Articles 120 of the Financial Regulation and 184a of the Implementing Rules of the Financial Regulation ¹⁸ .
Regional action	action implemented in or targeting two or more countries within the same geographically coherent area
Global or Inter-regional action	action implemented in or targeting two or more geographical areas as defined under "regional action" above

2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

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

¹⁸ http://ec.europa.eu/budget/documents/financial_regulation_en.htm#expand_collapse

2.1.1. Eligibility of applicants: who may apply

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

- be legal persons **and**
- belong to one of the following categories:
 - non-State actors (NSAs)¹⁹;
 - private sector organisations;
 - public or parastatal bodies, local authorities and consortia thereof or associations representing them²⁰;
 - international (intergovernmental) organisations, as defined by Article 43 of the Implementing Rules of the Financial Regulation²¹.

Exceptionally for proposals under lot 4 Forest Law Enforcement, Governance and Trade (FLEGT), international organisations are not eligible under this Call for Proposals.

NB: Grants may not have the purpose or effect of producing a profit for the Beneficiary or for any of the partners.

and

- be nationals²² of :
 - an eligible partner country as listed in the first column of the table under "Location" at 2.1.3, **or**
 - another developing country specified in the OECD/Development Assistance Committee (OECD/DAC) list²³, **or**

¹⁹ The Non-state, non-profit making actors eligible for financial support under the present call for proposals operating on an independent and accountable basis include amongst others non-governmental organisations, organisations representing indigenous or forest dependent populations, organisations representing national and/or ethnic minorities, local traders' associations and citizens groups, cooperatives, trade unions, organisations representing economic and social interests, organisations promoting good governance, local organisations (including networks) involved in decentralised regional cooperation and integration, consumer organisations, women's and youth organisations, some research and scientific organisations or, universities, churches and religious associations and communities, the media and any non-governmental associations and independent foundations, including independent political foundations.

²⁰ A formal consortium or association of local authorities may submit an application under the name of the legally constituted consortium or association. If the consortium is an informal grouping for the purposes of this call, the application must be submitted under the name of a lead local authority with the others acting as partners. See section 2.4 for the supporting documents to be provided in each case.

²¹ International public-sector organisations set up by intergovernmental agreements, and specialised agencies set up by such organisations; the International Committee of the Red Cross, the International Federation of National Red Cross and Red Crescent Societies are also recognised as international organisations. The European Investment Bank (EIB) and European Investment Fund (EIF) are assimilated to international organisations.

(<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CONSLEG:2002R2342:20080101:EN:PDF>).

²² Such nationality being determined on the basis of the organisation's statutes which should demonstrate that it has been established by an instrument governed by the internal law of the country concerned. In this respect, any legal entity whose statutes have been established in another country cannot be considered an eligible local organisation, even if they are registered locally or have signed a "Memorandum of Understanding". International intergovernmental organisations do not by definition have a nationality and therefore the nationality criterion does not apply to them.

- an EEA Member State²⁴ or an official EU candidate country (Croatia, Turkey, The Former Yugoslav Republic of Macedonia),

Reciprocal access provisions apply and, for proposed actions taking place exclusively in the least developed countries as defined by the OECD/DAC, reciprocal access shall be granted to OECD/DAC members²⁵.

In line with the provisions of article 31.4 of the DCI Regulation (see link on footnote 1) the above is without prejudice to the participation of the organisations referred to in point 5-(b) of the ENRTP Strategy Paper 2007-2010.

and

- be directly responsible for the preparation and management of the action with their partners, not acting as an intermediary.
- (2) Potential applicants may not participate in Calls for Proposals or be awarded grants if they are in any of the situations which are listed in Section 2.3.3 of the Practical Guide to contract procedures for EC external actions (available from the Internet address indicated at the beginning of section 2).

In Part A, Section IV and, if applicable, in Part B, Section VII of the Grant Application Form (“Declaration by the applicant”), applicants must declare that they do not fall into any of these situations.

2.1.2. Partnerships and eligibility of partners

Applicants may act with partner organisations as specified hereafter.

Partners

Applicants having the nationality²⁶ of an EEA Member State²⁷ or of a country eligible under the reciprocal access rules²⁸ **must** act in partnership with at least one local organisation having the nationality of the country or of one of the countries where the action takes place.

In all other cases, partnership is not mandatory but highly recommended, especially with local organisations from countries where the action is to be implemented.

Applicants’ partners participate in designing and implementing the action, and the costs they incur are eligible in the same way as those incurred by the grant beneficiary. They must therefore satisfy the same eligibility criteria as applicants. With a view to promoting public/private partnerships, profit-making entities (private organisations and economic operators) are also eligible as partners in the proposed action, provided they do not derive profit from the grant.

²³ See Annex II of the Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006 establishing a financing instrument for development cooperation (see footnote 1 for link).

²⁴ The 27 EU Member States plus Iceland, Liechtenstein and Norway.

²⁵ Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Japan, Luxemburg, Netherlands, New Zealand, Norway, Portugal, Spain, Sweden, Switzerland, United Kingdom, United States.

²⁶ See footnote 22.

²⁷ See footnote 24.

²⁸ See footnote 25.

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

Associates

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

Subcontractors

The grant beneficiaries have the possibility to award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the procurement rules set out in Annex IV to the standard grant contract (see Annex F [document E3h_3] indicated in Section 3 of the present Guidelines).

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

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

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

Duration

The planned total duration of an action may not exceed **60** months.

Types of action

The types of action eligible under the present call for proposals are indicated under section 1.2.3.

An application must refer to one lot under which it will be assessed, even if there are cross-over effects with themes of other lots. Applications that do not clearly refer to one lot will be rejected. The number of the lot to which the action is allocated should be clearly indicated (while fully respecting the allowed size of the grant indicated under section 1.3).

Only actions whose **immediate objective** is non-commercial are eligible. Under no circumstances may a grant provided under this programme give rise to profit, neither for the beneficiary nor for partners, i.e. it must be restricted to the amount required to balance income and expenditure for the action. Profit directed to the targeted population could nevertheless appear as a follow-up of the action co-financed by the EC.

The following types of action are not eligible:

- 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 supporting political parties;
- actions including proselytism;
- actions concerned solely or mainly with provision of supplies and/or works (buildings, infrastructure);
- actions concerned solely or mainly with research activities.

Location

Actions must take place in one or more of the countries or territories eligible for the lot of the proposal (see Section 1.2.3.).

The countries and territories eligible under the different lots are the following:

Country / Territory	Lot													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Afghanistan	*		*	*			*	*						
Algeria	*	*	*	*			*	*		*			*	
Angola	*	*	*	*			*	*	*		*			
Anguilla	*	*	*	*		*	*	*	*					
Antigua and Barbuda	*	*	*	*		*	*	*	*					
Argentina	*	*	*	*			*	*	*			*		
Armenia	*		*	*			*	*		*				*
Aruba	*	*	*	*		*	*	*	*					
Azerbaijan	*	*	*	*			*	*		*				*
Bahamas	*	*	*	*		*	*	*	*					
Bangladesh	*	*	*	*			*	*						
Barbados	*	*	*	*		*	*	*	*					
Belarus	*		*	*			*	*		*				*
Belize	*	*	*	*		*	*	*	*					
Benin	*	*	*	*			*	*	*		*			
Bermuda	*	*	*	*		*	*	*	*					
Bhutan	*		*	*			*	*						
Bolivia	*		*	*			*	*	*			*		
Botswana	*		*	*			*	*	*		*			
Brazil	*	*	*	*			*	*	*			*		
British Indian Ocean Territory	*	*	*	*		*	*	*	*					
British Virgin Islands	*	*	*	*		*	*	*	*					
Burkina Faso	*		*	*			*	*	*		*			
Burundi	*		*	*			*	*	*		*			
Cambodia	*	*	*	*	*		*	*						
Cameroon	*	*	*	* 29			*	*	*		*			
Cape Verde	*	*	*	*		*	*	*	*		*			
Cayman Islands	*	*	*	*		*	*	*	*					
Central African Republic	*		*	* 29			*	*	*		*			
Chad	*		*	*			*	*	*		*			
Chile	*	*	*	*			*	*	*			*		
China	*	*	*	*			*	*						
Colombia	*	*	*	* 29			*	*	*			*		
Comoro Islands	*	*	*	*		*	*	*	*		*			

²⁹ Country where a Voluntary Partnership Agreement (VPA) process is underway. One of such countries should be included in the action when the latter supports the participation in national processes for FLEGT VPA preparation, negotiation and/or implementation.

Country / Territory	Lot													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Congo, Dem. Rep.	*	*	*	* 29			*	*	*		*			
Congo, Rep.	*	*	*	* 29			*	*	*		*			
Cook Islands	*	*	*	*		*	*	*	*					
Costa Rica	*	*	*	*			*	*	*					
Côte d'Ivoire	*	*	*	*			*	*	*		*			
Cuba	*		*	*		*	*	*	*					
Djibouti	*	*	*	*			*	*	*		*			
Dominica	*	*	*	*		*	*	*	*					
Dominican Republic	*	*	*	*		*	*	*	*					
Ecuador	*	*	*	* 29			*	*	*			*		
Egypt	*	*	*	*			*	*		*				*
El Salvador	*	*	*	*			*	*	*					
Eritrea	*	*	*	*			*	*	*		*			
Ethiopia	*		*	*			*	*	*		*			
Falkland Islands (Malvinas)	*	*	*	*		*	*	*	*			*		
Fiji	*	*	*	*		*	*	*	*					
French Polynesia	*	*	*	*		*	*	*	*					
French Southern Territories	*	*	*	*		*	*	*	*					
Gabon	*	*	*	* 29			*	*	*		*			
Gambia	*	*	*	*			*	*	*		*			
Georgia	*	*	*	*			*	*		*				*
Ghana	*	*	*	* 29			*	*	*		*			
Greenland	*	*	*	*		*	*	*	*					
Grenada	*	*	*	*		*	*	*	*					
Guatemala	*	*	*	*			*	*	*					
Guinea	*	*	*	*			*	*	*		*			
Guinea-Bissau	*	*	*	*		*	*	*	*		*			
Guyana	*	*	*	*		*	*	*	*			*		
Haiti	*	*	*	*		*	*	*	*					
Honduras	*	*	*	*			*	*	*					
India	*	*	*	*			*	*						
Indonesia	*	*	*	* 29	*		*	*						
Iran	*	*	*	*			*	*						
Iraq	*	*	*	*			*	*						
Israel	*	*	*	*			*	*		*			*	
Jamaica	*	*	*	*		*	*	*	*					
Jordan	*	*	*	*			*	*		*			*	
Kazakhstan	*	*	*	*			*	*						
Kenya	*	*	*	*			*	*	*		*			
Kiribati	*	*	*	*		*	*	*	*					
Korea, Dem. Rep.	*	*	*	*			*	*						
Kyrgyz Rep.	*		*	*			*	*						
Laos	*		*	*	*		*	*						
Lebanon	*	*	*	*			*	*		*			*	
Lesotho	*		*	*			*	*	*		*			
Liberia	*	*	*	* 29			*	*	*		*			
Libya	*	*	*	*			*	*		*			*	
Madagascar	*	*	*	*			*	*	*		*			
Malawi	*		*	*			*	*	*		*			
Malaysia	*	*	*	* 29	*		*	*						
Maldives	*	*	*	*		*	*	*						

Country / Territory	Lot													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Mali	*		*	*			*	*	*		*			
Marshall Islands	*	*	*	*		*	*	*	*					
Mauritania	*	*	*	*			*	*	*					
Mauritius	*	*	*	*		*	*	*	*		*			
Mayotte	*	*	*	*		*	*	*	*					
Mexico	*	*	*	*			*	*	*					
Micronesia, Fed. States	*	*	*	*		*	*	*	*					
Moldova	*		*	*			*	*		*				*
Mongolia	*		*	*			*	*						
Montserrat	*	*	*	*		*	*	*	*					
Morocco	*	*	*	*			*	*		*			*	
Mozambique	*	*	*	*			*	*	*		*			
Myanmar	*	*	*	*	*		*	*						
Namibia	*	*	*	*			*	*	*		*			
Nauru	*	*	*	*		*	*	*	*					
Nepal	*		*	*			*	*						
Netherlands Antilles	*	*	*	*		*	*	*	*					
New Caledonia	*	*	*	*		*	*	*	*					
Nicaragua	*	*	*	*			*	*	*					
Niger	*		*	*			*	*	*		*			
Nigeria	*	*	*	*			*	*	*		*			
Niue	*	*	*	*		*	*	*	*					
Oman	*	*	*	*			*	*						
Pakistan	*	*	*	*			*	*						
Palau	*	*	*	*		*	*	*	*					
Occupied Palestinian Territory	*	*	*	*			*	*		*			*	
Panama	*	*	*	*			*	*	*					
Papua New Guinea	*	*	*	*		*	*	*	*					
Paraguay	*		*	*			*	*	*			*		
Peru	*	*	*	*			*	*	*			*		
Philippines	*	*	*	*	*		*	*						
Pitcairn	*	*	*	*		*	*	*	*					
Russian Federation	*	*	*	*			*	*		*				*
Rwanda	*		*	*			*	*	*		*			
Saint Helena	*	*	*	*		*	*	*	*					
Saint Kitts and Nevis	*	*	*	*		*	*	*	*					
Saint Lucia	*	*	*	*		*	*	*	*					
Saint Vincent and the Grenadines	*	*	*	*		*	*	*	*					
Saint-Pierre-et-Miquelon	*	*	*	*		*	*	*	*					
Samoa	*	*	*	*		*	*	*	*					
Sao Tome and Principe	*	*	*	*		*	*	*	*		*			
Saudi Arabia	*	*	*	*			*	*						
Senegal	*	*	*	*			*	*	*		*			
Seychelles	*	*	*	*		*	*	*	*		*			
Sierra Leone	*	*	*	*			*	*	*		*			
Solomon Islands	*	*	*	*		*	*	*	*					
Somalia	*	*	*	*			*	*	*		*			
South Africa	*	*	*	*			*	*	*		*			
South Georgia and South Sandwich Islands	*	*	*	*		*	*	*	*					
Sri Lanka	*	*	*	*			*	*						

Country / Territory	Lot													
	1	2	3	4	5	6	7	8	9	10	11	12	13	14
Suriname	*	*	*	*		*	*	*	*			*		
Swaziland	*		*	*			*	*	*		*			
Syria	*	*	*	*			*	*		*			*	
Tajikistan	*		*	*			*	*						
Tanzania	*	*	*	*			*	*	*		*			
Thailand	*	*	*	*	*		*	*						
Timor-Leste	*	*	*	*	*		*	*						
Togo	*	*	*	*			*	*	*		*			
Tonga	*	*	*	*		*	*	*	*					
Trinidad and Tobago	*	*	*	*		*	*	*	*					
Tunisia	*	*	*	*			*	*		*			*	
Turkmenistan	*	*	*	*			*	*						
Turks and Caicos Islands	*	*	*	*		*	*	*	*					
Tuvalu	*	*	*	*		*	*	*	*					
Uganda	*		*	*			*	*	*		*			
Ukraine	*	*	*	*			*	*		*				*
Uruguay	*	*	*	*			*	*	*			*		
Uzbekistan	*	*	*	*			*	*						
Vanuatu	*	*	*	*		*	*	*	*					
Venezuela	*	*	*	*			*	*	*			*		
Vietnam	*	*	*	* 29	*		*	*						
Wallis and Futuna Islands	*	*	*	*		*	*	*	*					
Yemen	*	*	*	*			*	*						
Zambia	*		*	*			*	*	*		*			
Zimbabwe	*		*	*			*	*	*		*			

Visibility

Applications should include a communication and visibility strategic plan in both the Full Application Form and the budget in line with the EC visibility guidelines:

http://ec.europa.eu/europeaid/work/visibility/index_en.htm

Monitoring and Evaluation

Actions should foresee planning, human resources, budget and any other appropriate measures for the monitoring and evaluation of the proposed action, together with objectively verifiable indicators. Budget should be foreseen for reporting to the European Commission (travel, per diem), be at Brussels' Headquarters or the Delegations.

Sub-granting

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

In cases where the Applicant foresees to award sub-grants, he has to specify in his application the total amount of the grant which may be used for awarding sub-grants, as well as the minimum and maximum amount per sub-grant. A list with the types of activity which may be eligible for sub-grants must be included in the Grant Application Form (Annex A, Part B, Section II, point 1.4), together with the criteria for the selection of the beneficiaries of these sub-grants. The

maximum amount of a sub-grant is limited to EUR 10.000 per third party while the total amount which can be awarded as sub-grants to third parties is limited to EUR 100.000.

Number of proposals and grants per applicant

An applicant may not submit more than one (1) proposal per lot under this Call for Proposals.

An application may not address more than one (1) lot under this Call for Proposals.

An applicant may not be awarded more than three (3) grants under this Call for Proposals.

An applicant may at the same time be partner in other applications submitted under this Call for Proposals.

There is no limit to the number of proposals in which an organisation may participate as partner under this Call for Proposals.

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

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

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the European Commission to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of co-financing as a result of these corrections may not be increased in any case.

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

Eligible direct costs

To be eligible under the Call for Proposals, costs must comply with the provisions of Article 14 of the General Conditions to the Standard Grant Contract (see Annex F to the present guidelines – follow link at section 3).

Contingency reserve

A contingency reserve not exceeding 5% of the direct eligible costs of the action may be included in the Budget of the action. It can only be used with the **prior written authorisation** of the European Commission.

Eligible indirect costs (overheads)

The indirect costs incurred in carrying out the action may be eligible for flat-rate funding fixed at not more than 7% of the total eligible costs.

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

Contributions in kind

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

The cost of staff assigned to the action is not a contribution in kind and may be considered as co-financing in the Budget of the action when paid by the beneficiary or partners.

Notwithstanding the above, if the description of the action as proposed by the beneficiary foresees contributions in kind these must be provided during implementation.

Ineligible costs

The following costs are not eligible:

- debts and provisions for losses or debts;
- interest owed;
- items already financed in another framework;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred to the final beneficiaries and/or local partners, at the latest by the end of the action;
- currency exchange losses;
- taxes, including VAT.

2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

This is a restricted Call for Proposals. **In the first instance, only Concept Notes must be submitted for evaluation**. Thereafter, applicants whose Concept Notes have been pre-selected will be invited to submit a Full Application Form.

Prior registration in the PADOR system (Potential Applicant Data On-Line Registration) is **obligatory** for both applicant and partners:

http://ec.europa.eu/europeaid/work/onlineservices/pador/index_en.htm

PADOR is an on-line database in which organisations register themselves and update regularly their data.

Data provided by organisations in PADOR is used by the European Commission for checking the eligibility of the organisations that participate in calls for proposals. This data concerns the organisation itself. It is not linked to a particular project proposal.

Applicants must complete all the sections presented in PADOR with the exception of the section "Strategy and Methodology". The partners must complete all PADOR sections with the exception of the sections "Board of Directors" and "Strategy and Methodology". All the required supporting documents for both applicants and partners (see section 2.4 below) should be uploaded in PADOR by the Concept Note submission deadline. The EuropeAid ID number (assigned upon completion of the registration process in PADOR) of the applicant organisation as well as that of any partner organisation must be indicated in the Concept Note.

Before starting the registration of your organisation in PADOR, the following should be consulted:

- the quick guide (that explains, on one page, the process of registration in PADOR)
- the Frequently Asked Questions
- the PADOR user's guide.

These 3 documents are available on the website indicated above.

Notwithstanding the above, where PADOR registration is objectively impossible, the applicant can submit a request for derogation concerning its registration in PADOR and/or that of any partner(s). In this case, it is compulsory for the applicant and/or the partner(s) concerned to complete the PADOR Derogation Pack (Annexes MA and MB to these Guidelines) and send it together with the Concept Note to the address indicated in section 2.2.2. of the Guidelines. The justification for derogation must be based on the objective impossibility of the applicant and/or its partner(s) to register in PADOR. This objective impossibility should go beyond the control of the applicant and/or its partner(s) and, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant and/or its partner(s) themselves). The applicant should provide, where possible, supporting documents substantiating its request. Any derogation granted will apply only to the specific call for proposals in the context of which it was requested. If derogation is granted, registration in PADOR shall be initiated by the European Commission. If, at a later stage, the organisation wishes to update its data itself, an access request will have to be sent to the PADOR help desk at the address indicated hereafter.

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

Europeaid-on-line-registration-hd@ec.europa.eu

2.2.1 *Concept Note content*

Applications must be submitted using Part A – Concept Note of the Grant Application Form (Annex A), taking care to use the correct application documents for this Call (to be downloaded from the EuropeAid website at:

<https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>).

Any Concept Note using the form relating to any other Call may be rejected.

Concept Notes must be submitted in one of the following Community languages: **English, French, Spanish or Portuguese**, whichever is the most commonly used by the targeted populations in the country(ies) in which the action takes place.

In the Concept Note, applicants are only required to provide an estimate of the requested amount of the European Commission contribution. Only the applicants invited to submit a full proposal in the second phase will be required to present a detailed budget.

Any error or major discrepancy in the Concept Note may lead to the rejection of the said Concept Note.

Clarifications may only be requested when information provided is unclear, thus preventing the European Commission from conducting an objective assessment.

Hand-written Concept Notes will not be accepted.

The Concept Note together with the Checklist for the Concept Note (Part A, Section III of the Grant Application Form) and the Declaration by the applicant for the Concept Note (Part A, Section IV of the Grant Application Form) must be submitted in **one (1) paper original**.

Concept notes must be submitted as well in electronic format (CD-Rom or USB). The electronic version must be identical to the submitted paper version.

Only the Concept Note will be evaluated. It is therefore of utmost importance that this document contains all requested relevant information concerning the action. No additional annexes to those indicated should be submitted.

2.2.2 *Where and how to send Concept Notes*

Concept Notes must be submitted in a sealed envelope by registered mail with delivery confirmation, courier service or by hand-delivery at the address below (a signed and dated acknowledgement of receipt will be given by the European Commission). For the convenience of the applicants an address form has been attached in Annex I and J to the present Guidelines. Applicants are encouraged to complete it and use it as a label for the outer envelope.

Postal address

European Commission
EuropeAid Co-operation Office
Unit F4 – Finances, Contracts and Audit for thematic budget lines
Call for Proposals Sector
Office: L-41 03/154
B - 1049 Brussels
BELGIUM

Address for hand-delivery or courier service

European Commission
EuropeAid Cooperation Office
Unit F4 – Finances, Contracts and Audit for thematic budget lines
Call for Proposals Sector
Office: L-41 03/154
Central Mail Service
Avenue du Bourget 1
B-1140 Brussels (Evere)
BELGIUM

Concept Notes sent by fax or by e-mail or delivered to other addresses will be rejected.

Where an applicant sends several different concept notes, each one must be sent separately.

The outer envelope must bear the reference and the title of the Call for Proposals, the lot number and title, the full name and address of the applicant, and the words "Not to be opened before the opening session".

Applicants must verify that their Concept Note is complete using the Checklist for Concept Note (Part A, Section III of the Grant Application Form). Incomplete Concept Notes may be rejected.

2.2.3 *Deadline for submission of the Concept Notes*

The deadline for the submission of Concept Notes is **1 October 2009** (date at place of dispatch) as evidenced by the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is **1 October 2009 at 16:00 hrs** (Brussels date and time) as evidenced by the European Commission's signed and dated acknowledgement of receipt given to the bearer.

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

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

The applicant is solely responsible for the choice of means of expedition amongst those indicated in section 2.2.2 and for following-up the delivery.

2.2.4 *Further information for Concept Note*

Questions (except those related to registration in PADOR) may be sent by e-mail no later than 21 days before the deadline for the submission of Concept Notes to the address below, **indicating clearly the reference of the Call for Proposals:**

E-mail address: EuropeAid-GlobalCalls@ec.europa.eu

Replies will be given no later than 11 days before the deadline for the submission of Concept Notes. The European Commission has no obligation to provide further clarifications after this date.

After the deadline for submission of Concept Notes, the above-mentioned e-mail address can only be used by the European Commission to initiate correspondence regarding any requests for clarification that may be required.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox.

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

In addition, during the course of the evaluation procedure, important notices to applicants may be published on the EuropeAid website at <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call, as the need arises. The applicants are therefore strongly encouraged to regularly consult this webpage.

All questions related to PADOR registration should be addressed **to the PADOR help desk:** Europeaid-on-line-registration-hd@ec.europa.eu

2.2.5 *Full Application Form*

Applicants invited to submit a Full Application Form following the pre-selection of the Concept Note must do so by using the application documents annexed to the present Guidelines: Annex A, Part B – Full Application Form; Annex B – Budget and Annex C – Logical Framework. These can be downloaded from the EuropeAid website at the address indicated in section 2.2.1. Applicants should keep strictly to the format of the application form and fill in the paragraphs and pages in order taking care to use the correct application documents for this Call. Applications submitted on application documents relating to any other call may be rejected.

Budgetary information concerning the action should be provided using round figures and be presented only in the Budget (Annex B).

Applicants should note that there are **two worksheets in Annex B** that have to be completed:

Worksheet 1 – "Budget for the action" (worksheet 1 must include **all eligible costs** that are foreseen to be incurred by the action), and

Worksheet 2 – "Expected sources of funding" (worksheet 2 must indicate the amount and percentage of financing per source, i.e. requested EC contribution, applicant's contribution, any other donors' contributions, etc). NB. See section 1.3 for rules on maximum percentage of EC contribution.

The amount of the requested EC contribution may vary in this detailed budget from the initial Concept Note estimate by not more than 20% but must still respect the limits indicated in section 1.3 of these guidelines. Any variation higher than 20% should be duly justified in the Grant Application Form (Annex A, Part B, Section II.2).

Applicants must submit their full applications in the same language as their Concept Note.

The Full Application Form should be completed carefully and as clearly as possible to facilitate the evaluation. The reference number allocated to the Concept Note by the European Commission should appear on the cover page of the Full Application Form.

The elements contained in the Concept Note cannot be modified in the Full Application Form.

Any error related to the points listed in the Checklist (Part B, Section VI of the Grant Application Form) or any major inconsistency in the Full Application Form may lead to the rejection of the application.

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

Hand-written applications will not be accepted.

The Full Application Form, the Budget and the Logical Framework must be submitted in **one (1) paper original**, as well as **in electronic version (CD-Rom or USB)**.

The electronic version must be identical to the submitted paper version. Each component of the application (Full Application Form, Budget and Logical Framework) must be submitted in a single, separate electronic file (for example, the application form must not be split into several different electronic files) and should not contain coloured or high resolution graphs, images or diagrams.

Only the Full Application Form and the published annexes which must be filled in (budget, logical framework) will be evaluated. It is therefore of utmost importance that these documents contain all requested relevant information concerning the action. No supplementary annexes should be sent.

2.2.6 *Where and how to send the Full Application Form*

The Full Application Form must be submitted in a sealed envelope by registered mail with delivery confirmation or by courier service or by hand-delivery to the address below (a signed and dated acknowledgement of receipt will be given by the European Commission to the bearer). For the convenience of the applicants an address form has been attached in Annex I and J to the present guidelines. Applicants are encouraged to complete it and use it as a label for the outer envelope.

Postal address

European Commission
EuropeAid Co-operation Office
Unit F4 – Finances, Contracts and Audit for thematic budget lines

Call for Proposals Sector
Office: L-41 03/154
B - 1049 Brussels
BELGIUM

Address for hand-delivery or courier service

European Commission
EuropeAid Cooperation Office
Unit F4 – Finances, Contracts and Audit for thematic budget lines
Call for Proposals Sector
Office: L-41 03/154
Central Mail Service
Avenue du Bourget 1
B-1140 Brussels (Evère)
BELGIUM

Full Application Forms sent by fax or by e-mail or delivered to other addresses will be rejected.

The Checklist (Part B, Section VI of the Grant Application Form) and the Declaration by the applicant (Part B, Section VII of the Grant Application Form) must be stapled separately and enclosed in the envelope.

Where an applicant sends several different applications, each one must be sent separately.

The outer envelope must bear the **reference and the title of the Call for Proposals**, the lot number and title, the reference number allocated to the Concept Note, the full name and address of the applicant, and the words "Not to be opened before the opening session".

Applicants must verify that their application is complete using the Checklist (Part B, Section VI of the Grant Application Form). Incomplete applications will be rejected.

2.2.7 <i>Deadline for submission of the Full Application Form</i>

The deadline for the submission of the Full Application Forms will be indicated in the letter sent to the pre-selected applicants. Submission within the deadline will be evidenced by the postmark or the date of the deposit slip. For hand deliveries, the deadline for submission of Full Application Forms will be on the same date as indicated in the above-mentioned letter at 16:00 Brussels time. In this case, reception within the deadline will be evidenced by the signed and dated acknowledgement of receipt given to the bearer by the European Commission.

Any Full Application Form sent after the deadline or, in the case of hand-deliveries, received after the stipulated time will be rejected.

Any Full Application Form received by the European Commission on or after the effective date of completion of the evaluation of the Full Application Forms will be treated as having been submitted after the deadline and, therefore, rejected.

The applicant is solely responsible for the choice of means of expedition amongst those indicated in Section 2.2.6 and for following-up the delivery.

2.2.8 Further information for the Full Application Form

Questions concerning Full Application Forms (except those related to registration in PADOR) may be sent by e-mail no later than 21 days before the deadline for the submission of applications to the below address, **indicating clearly the reference of the Call for Proposals:**

E-mail address: EuropeAid-GlobalCalls@ec.europa.eu

Replies will be given no later than 11 days before the deadline for the submission of the Full Application Forms. The European Commission has no obligation to provide further clarifications after this date.

After the deadline for submission of Full Application Forms, the above-mentioned e-mail address can only be used by the European Commission to initiate correspondence regarding any requests for clarification that may be required.

No individual replies to queries with regard to the status of the selection procedure can be given via this mailbox.

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

In addition, during the course of the evaluation procedure important notices to applicants may be published on the EuropeAid website at <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call, as the need arises. The applicants are therefore strongly encouraged to regularly consult this webpage.

All questions related to PADOR registration should be addressed **to the PADOR help desk:** Europeaid-on-line-registration-hd@ec.europa.eu

2.3 EVALUATION AND SELECTION OF APPLICATIONS

Applications will be examined and evaluated by the European Commission according to the following steps and criteria.

If at any stage in the evaluation process any component of the application (the applicant, a partner or the action) is identified as not fulfilling the eligibility criteria specified in Section 2.1.1, 2.1.2 and 2.1.3 of the present guidelines, the application may be rejected on that sole basis.

(1) STEP 1: OPENING SESSION AND ADMINISTRATIVE CHECK OF THE CONCEPT NOTE

The following will be assessed:

- The deadline has been respected. If the deadline has not been respected, the proposal will be rejected.
- The Concept Note satisfies all the criteria mentioned in points 1-5 of the Checklist (Part A, Section III of the Grant Application Form). If any of the requested information is missing or is incorrect, the proposal may be rejected on that **sole** basis and the proposal will not be evaluated further.

Following the opening session and the administrative check of the Concept Notes, the European Commission will send an e-mail to all applicants, indicating whether their Concept Note was submitted prior to the deadline and whether their Concept Note has been recommended for evaluation.

The European Commission reserves the right to proceed directly to the evaluation of the Concept Notes (step 2) submitted within the deadline and in one of the languages specified in section 2.2.1 of the guidelines.

(2) STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes will cover the relevance of the action and its design.

The Concept Note will be given an overall score out of 50 points in accordance with the breakdown provided in the Evaluation Grid below. The evaluation shall also verify the compliance with instructions provided in "Part A – Concept Note" of the Grant Application Form.

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

Evaluation Grid

	Scores	
	Sub-score	
1. Relevance of the action		40
1.1 How relevant is the proposal to the objectives and priorities of the Call for Proposals and specifically to the focus of the selected lot? Does it take on a global, inter-regional or transboundary approach?	5x3*	
1.2 How relevant to the particular policy challenges and opportunities, needs and constraints of the target country/countries or region(s) and/or ecosystem(s) is the proposal? (including synergy with EC country/regional strategy papers and other EC initiatives, and avoidance of duplication).	5x2*	
1.3 How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately? Were the target groups duly consulted?	5x2*	
1.4 Does the proposal contain specific added-value elements , such as the promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, job creation, migration reduction, or innovation and best practices?	5	
2. Design of the action	Sub-score	10
2.1 How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5	
2.2 Is the action feasible and consistent in relation to the objectives, and expected results?	5	
TOTAL SCORE		50

*the scores are multiplied by 2 or 3 because of their importance

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

Firstly, only the Concept Notes which have been given a score of a minimum of 30 points in the category "Relevance" as well as a minimum total score of 35 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in accordance to the ranking to those whose sum of requested contributions amounts to at least twice the available budget for this Call for Proposals, taking into account the indicative financial envelopes foreseen by lot. The pre-selected applicants will subsequently be invited to submit Full Application Forms.

The relevance of proposals will only be assessed at the Concept Note stage. Scores awarded to that criterion in the Concept Note evaluation will be taken into account in the Full Application evaluations.

(3) STEP 3: OPENING SESSION AND ADMINISTRATIVE CHECK OF THE FULL APPLICATION FORM

The following will be assessed:

- The deadline has been respected. If the deadline has not been respected the proposal will be rejected.
- The Full Application Form satisfies all the criteria mentioned in points 1-8 of the Checklist (Part B, Section VI of the Grant Application Form). If any of the requested information is missing or is incorrect, the proposal may be rejected on that sole basis and the proposal will not be evaluated further.

Following the opening session and the administrative check of the Full Application Form, the European Commission will send an e-mail to all applicants, indicating whether their application was submitted prior to the deadline and whether their application has been recommended for evaluation.

(4) STEP 4: EVALUATION OF THE FULL APPLICATION FORM

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

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

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

The award criteria allow the quality of the proposals submitted to be evaluated in relation to the set objectives and priorities, and grants to be awarded to actions which maximise the overall effectiveness of the Call for Proposals. They enable the selection of proposals which the European Commission can be confident will comply with its objectives and priorities and guarantee the visibility of the Community financing. They cover such aspects as the quality of the action, its consistency with the objectives of the Call for Proposals, expected impact, sustainability and cost-effectiveness.

Scoring:

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good.

Evaluation Grid

Section	Maximum Score
1. Financial and operational capacity of the applicant	20
1.1 Do the applicant and partners have sufficient experience of project management ?	5
1.2 Do the applicant and partners have sufficient technical expertise ? (notably knowledge of the issues to be addressed)	5
1.3 Do the applicant and partners have sufficient management capacity ? (including staff, equipment and ability to handle the budget for the action)	5
1.4 Does the applicant have stable and sufficient sources of finance ?	5
2. Relevance of the action	30
<i>Score proportionally transferred from Concept Note evaluation</i>	
3. Effectiveness and feasibility of the action	20
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2 Is the action plan clear and feasible?	5
3.3 Does the proposal contain objectively verifiable indicators for the outcome of the action? (including due monitoring and/or evaluation measures)	5
3.4 Is the partners' level of involvement and participation in the action satisfactory? NB: If there are no partners the score will be 1.	5
4. Sustainability of the action	15
4.1 Is the action likely to have a tangible impact on its target groups?	5
4.2 Is the proposal likely to have multiplier effects ? (Including scope for replication and extension of the outcome of the action and dissemination of information.)	5
4.3 Are the expected results of the proposed action sustainable : - financially (<i>how will the activities be financed after the funding ends?</i>) - institutionally (<i>will structures allowing the activities to continue be in place at the end of the action? Will there be local "ownership" of the results of the action?</i>) - at policy level (where applicable) (<i>what will be the structural impact of the action — e.g. will it lead to improved legislation, codes of conduct, methods, etc?</i>)	5
5. Budget and cost-effectiveness of the action	15
5.1 Are the activities appropriately reflected in the budget?	5x2*
5.2 Is the ratio between the estimated costs and the expected results satisfactory?	5
Maximum total score	100

* the score is multiplied by 2 because of its importance

Note on Section 1. Financial and operational capacity

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

Provisional selection

Following the evaluation, the proposals will be ranked according to the score of the consolidated evaluation grid and a list of provisionally selected proposals will be established on the basis of the available financial envelope and a reserve list drawn up.

(5) STEP 5: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

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

- The Declaration by the applicant (Part B, Section VII of the Grant Application Form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any incoherence between the Declaration by the applicant and the supporting documents may lead to the rejection of the proposal on that sole basis.
- The eligibility of the applicant and the partners will be verified according to the criteria set out in Sections 2.1.1 and 2.1.2.

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

Based on the verification of the supporting documents, the European Commission will prepare the final list of the grants to be awarded under this Call for Proposals.

2.4 SUBMISSION OF SUPPORTING DOCUMENTS

The supporting documents listed below are required in order to allow the European Commission to verify the eligibility of the applicants and their partners.

All required supporting documents **for both applicants and partners** for this Call for Proposals **must be uploaded** in the PADOR system. The deadline for uploading them in the system is the same as the deadline for submission of the Concept Note (see section 2.2.3).

If derogation from the obligation to register in PADOR is being requested (see section 2.2), the applicant or partner requesting derogation from the obligation to register in PADOR **must, in any case, send all** required supporting documents for this Call for Proposals to the address indicated in Section 2.2.2 together with the **Concept Note and the PADOR derogation Pack.**

If the supporting documents are not provided within the deadline above the application may be rejected.

Required supporting documents for APPLICANTS:

1. The **statutes or articles of association of the organisation**³⁰. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.1. above (i.e. legal existence, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when derogation from registration in PADOR is being requested, must be sent together with the supporting documents.

This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm

2. Where the grant requested exceeds EUR 500.000, an **external audit report** of the applicant organisation produced by an approved auditor, certifying the accounts for the last financial year available. This obligation does not apply to public bodies or to international organisations as defined under footnote 21.
3. Copy of the **applicant's latest accounts** (the profit and loss account and the balance sheet) for the previous financial year for which the accounts have been closed. This obligation does not apply to public bodies or to international organisations as defined under footnote 21. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to point 2 above.
4. **Legal entity sheet** (see Annex D of these Guidelines) duly completed and signed by the applicant, accompanied by the justifying documents which are requested therein. If the applicant has already signed a contract with the Contracting Authority, instead of the legal entity sheet and its supporting documents the legal entity number may be provided, unless a change in its legal status occurred in the meantime.

Required supporting documents for PARTNER ORGANISATIONS:

The **statutes or articles of association of the organisation**³¹. Such documents must prove that the organisation in question meets all the required eligibility criteria indicated in section 2.1.2. above (i.e. legal existence, category of organisation and objectives, nationality, etc.). They must bear the stamp of the appropriate authorising body (ministry, lawyer, etc.) or be accompanied by relevant registration documents or other appropriate documentation. Any such accompanying documentation must be uploaded into PADOR in the same electronic file as the statutes or articles of association or, when derogation from registration in PADOR is being requested, must be sent together with the supporting documents.

This obligation does not apply to international organisations which have signed a framework agreement with the European Commission. A list of the relevant framework agreements is available at the following address:

³⁰ Where the organisation is a public (including local authorities) or parastatal body created by a law, a copy of the said law or other official document recognizing the body's public or parastatal status in accordance with the relevant national law must be provided. Where the organisation is a legally constituted consortium or association of Local Authorities, the statutes or articles of association of the said consortium or association must be provided.

³¹ See footnote 30.

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm

Requirements for all supporting documents:

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

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

Where these documents are in an official language of the European Union other than the languages of the Call for Proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation of the relevant parts, proving the applicant's and partner's (s') eligibility, into one of the languages of the Call for Proposals. Where such translation is provided, it must be uploaded into PADOR in the same electronic file as the original language version (or, where derogation from PADOR registration is being requested, be sent with the supporting documents).

2.5 NOTIFICATION OF THE EUROPEAN COMMISSION'S DECISION

2.5.1 Content of the decision

Applicants will be informed in writing of the European Commission's decision concerning their application and where applicable, the principal reason(s) for a negative decision.

Applicants who were unsuccessful at the Opening and Administrative Check stages of the procedure (Step 1 and Step 3) or at the Eligibility check stage (Step 5) 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
EuropeAid Co-operation Office
Unit F4 Finance, Contracts and Audit for Thematic Budget Lines
Attn. Head of the Calls for Proposals Sector
Office L-41 03/136
B-1049 Brussels
Belgium

Applicants who were unsuccessful at the technical evaluation stages of the procedure (Step 2 or Step 4) wishing to obtain further information should send their request, indicating the reference of the Call for Proposals and the reference allocated to the proposal, to:

European Commission
EuropeAid Co-operation Office
Unit F3 Central Management of Thematic Budget Lines
Attn. Head of Unit
Office L-41 02/072

B-1049 Brussels
Belgium

The request for further information should be sent to the European Commission no later than 90 days from the date of receipt of the letter informing the applicants about the negative decision concerning their application.

The European Commission must reply within 90 days of receipt of the request for information.

Thereafter, applicants believing that there has been an error or irregularity during the award process may send a petition no later than 90 days from the date of receipt of the above-mentioned reply from the European Commission, to the following address:

European Commission
EuropeAid Co-operation Office
Directorate F – Thematic Operations
Attn. The Director
Office L-41 06/169
B-1049 Brussels
Belgium

The European Commission must reply within 90 days of receipt of the said petition.

2.5.2 Indicative time table

The indicative calendar will be published on the EuropeAid website at <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> together with the other documents related to this call and will be updated during the course of the evaluation procedure.

2.6 CONDITIONS APPLICABLE TO IMPLEMENTATION OF THE ACTION FOLLOWING THE EUROPEAN COMMISSION'S DECISION TO AWARD A GRANT

Following the decision to award a grant, the beneficiary will be offered a contract based on the European Commission's standard contract (see Annex F of the present guidelines). By signing the Grant Application Form (Annex A), the applicant declares accepting, in case where it is awarded a grant, the Contractual conditions as laid down in the Standard Contract.

If the successful applicant is an international organisation, the model Contribution Agreement with an international organisation or any other contract template agreed between the international organisation concerned and the European Commission will be used instead of the standard grant contract provided that the international organisation in question offers the guarantees provided for in article 53d (1) of the Financial Regulation, as described in Chapter 7 of the Practical Guide to contract procedures for EC external actions.

Procurement

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

2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE

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

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

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

3. LIST OF ANNEXES

DOCUMENTS TO FILL IN

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (PDF FORMAT)

See documents **E3e** at

http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

DOCUMENTS FOR INFORMATION

ANNEX E: FINANCIAL IDENTIFICATION FORM

See document **E3f** at

http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

ANNEX F: STANDARD CONTRACT (WORD FORMAT)

See documents from **E3h_1 to E3h_9** at

http://ec.europa.eu/europeaid/work/procedures/implementation/grants/index_en.htm

E3h_1		SPECIAL CONDITIONS
E3h_2	ANNEX II:	GENERAL CONDITIONS APPLICABLE TO EUROPEAN COMMUNITY-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
E3h_3	ANNEX IV:	CONTRACT AWARD PROCEDURES
E3h_4	ANNEX V:	STANDARD REQUEST FOR PAYMENT AND FINANCIAL IDENTIFICATION FORM
E3h_5	ANNEX VI:	INTERIM NARRATIVE REPORT
E3h_6	ANNEX VI:	FINAL NARRATIVE REPORT
E3h_7	ANNEX VI:	FINANCIAL REPORT
E3h_8	ANNEX VII:	MODEL REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR AN EXPENDITURE VERIFICATION OF AN EC FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS
E3h_9	ANNEX VIII:	MODEL FINANCIAL GUARANTEE

ANNEX G: DAILY ALLOWANCE RATES (PER DIEM)

http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm

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

http://ec.europa.eu/europeaid/work/procedures/implementation/international_organisations/index_en.htm

ANNEX I: ADDRESS FORM (POSTAL ADDRESS – APPLICATIONS TO BE SENT BY POST)

ANNEX J: ADDRESS FORM (ADDRESS FOR HAND-DELIVERY OR COURIER SERVICE)

ANNEX K: PROJECT CYCLE MANAGEMENT GUIDELINES

http://ec.europa.eu/europeaid/multimedia/publications/publications/manuals-tools/t101_en.htm

DOCUMENTS TO FILL IN CASE OF REQUEST FOR DEROGATION FROM PADOR REGISTRATION

ANNEX MA: PADOR DEROGATION PACK FOR APPLICANTS (WORD FORMAT)

ANNEX MB: PADOR DEROGATION PACK FOR PARTNERS (WORD FORMAT)

ANNEX I – ADDRESS FORM (postal address – applications to be sent by registered post)

Call reference: **EuropeAid/128320/C/ACT/Multi – Environment and Sustainable Management of Natural Resources, including Energy**

Please fill in:

Name of the applicant	
Address	
City	
Zip Code	
Country	

Lot Number and Title:

NOT TO BE OPENED BEFORE THE OPENING SESSION

**European Commission
EuropeAid Co-operation Office
Unit F4 Finance, Contracts and Audit for Thematic Budget Lines
Call for Proposals Sector
Office L-41 03/154
B-1049 Brussels
BELGIUM**

ANNEX J - ADDRESS FORM (Address for hand-delivery or courier service)

Call reference: **EuropeAid/128320/C/ACT/Multi – Environment and Sustainable Management of Natural Resources, including Energy**

Please fill in:

Name of the applicant	
Address	
City	
Zip Code	
Country	

Lot Number and Title:

NOT TO BE OPENED BEFORE THE OPENING SESSION

**European Commission
EuropeAid Co-operation Office
Unit F4 Finance, Contracts and Audit for Thematic Budget Lines
Call for Proposals sector
Office L-41 03/154
Central Mail Service
Avenue du Bourget 1
B-1140 Brussels (Evère)
BELGIUM**