



**Contracting authority  
EUROPEAN COMMISSION**

**ALFA III  
3<sup>rd</sup> Call**

**Guidelines  
for grant applicants**

Budget line 19.09.01

**Reference:** 130-999

Deadline for submission of proposals: **25/03/2011**

## LEGAL NOTICE

The French, English and Portuguese translations are based on the original Spanish version. In the event of any contradictions, the Spanish original will prevail.

### Notice

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

Proposal evaluation process:

- 1) Administrative control: opening session and administrative evaluation
- 2) Evaluation of the Concept Note
- 3) Comprehensive evaluation of Proposals
- 4) Eligibility check of Applicants and Partners

Please note that:

The Concept Note will be evaluated (step 2) only if the proposal has already got through the administrative check (step 1).

The comprehensive evaluation of the proposal (step 3) will be carried out if the Concept Note has been provisionally selected.

The eligibility control (step 4) will only be carried out if the proposals have been provisionally selected according to the results of the evaluation of the full application.

## TABLE OF CONTENTS

<b>1.</b>	<b>ALFA III .....</b>	<b>4</b>
<b>1.1</b>	<b>Background .....</b>	<b>4</b>
<b>1.2</b>	<b>Objectives of the programme and priority issues.....</b>	<b>4</b>
<b>1.3</b>	<b>Financial allocation provided by the contracting authority.....</b>	<b>5</b>
<b>2.</b>	<b>RULES APPLICABLE TO THIS CALL FOR PROPOSALS .....</b>	<b>6</b>
<b>2.1</b>	<b>Eligibility criteria .....</b>	<b>6</b>
2.1.1	Eligibility of applicants: conditions governing applications.....	6
2.1.2	Partnerships and eligibility of partners.....	7
2.1.3	Eligible actions: activities for which an application may be submitted.....	8
2.1.4	Eligibility of costs: costs which may be taken into consideration for the grant.....	9
2.1.5	Specifications per lot.....	10
<b>2.2</b>	<b>How to apply - procedures to follow .....</b>	<b>13</b>
2.2.1	Concept Note content .....	14
2.2.2	Where and how to send Concept Notes .....	15
2.2.3	Deadline for submission of Concept Notes.....	16
2.2.4	Further information for Concept Note.....	16
2.2.5	Full Application Form .....	16
2.2.6	Where and How to send the Full Application Form.....	17
2.2.7	Deadline for submission of Full Application Form.....	18
2.2.8	Further information for the Full Application form.....	18
<b>2.3</b>	<b>Evaluation and selection of applications.....</b>	<b>19</b>
	<b>STEP 1: OPENING AND ADMINISTRATIVE CHECKS.....</b>	<b>19</b>
	<b>STEP 2: EVALUATION OF THE CONCEPT NOTE .....</b>	<b>19</b>
	<b>STEP 3: EVALUATION OF THE FULL APPLICATION.....</b>	<b>20</b>
	<b>STEP 4: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS ....</b>	<b>23</b>
<b>2.4</b>	<b>Submission of supporting documents for provisionally selected proposals.....</b>	<b>23</b>
<b>2.5</b>	<b>Notification of the Contracting Authority's decision .....</b>	<b>24</b>
2.5.1.	Content of the decision.....	24
2.5.2.	Indicative timetable.....	24
<b>2.7</b>	<b>CENTRAL EXCLUSION DATABASE AND EARLY WARNING SYSTEM.....</b>	<b>25</b>
<b>3.</b>	<b>LIST OF ANNEXES .....</b>	<b>26</b>

# 1. ALFA III

## 1.1. BACKGROUND

ALFA<sup>1</sup> III is legally based on the Regulation (EC) No 1905/2006 of the European Parliament and of the Council of the European Union (EU) of 18 December 2006 establishing a financing instrument for development cooperation. ALFA III retains the original objective of the previous phases of the ALFA Programme<sup>2</sup>, that is, to promote Higher Education in Latin America (LA) as a means to contribute to the economic and social development of the region.

ALFA III, both in the call for proposals of 2008<sup>3</sup> and 2010<sup>4</sup>, as well as in the current one, aims at undertaking all the required steps to carry out projects that foster regional integration, socioeconomic development and social inclusion in the beneficiary countries.

In the third phase of consolidation, the following elements are highlighted: development and cooperation and institution-building; strengthening the role of Higher Education in the overall balanced and equitable development of the Latin American society; and promoting a Common EU-Latin American Higher Education Area.

Higher Education Institutions (HEIs) constitute an element of paramount importance for the social and economic development of the LA countries, owing to the fact that they are entities for human resources development, addressing social needs and coping with changes in society.

More and better access to Higher Education favours the integration of vulnerable and/or social excluded groups into society. It also contributes to improve their employment and living standards, lowering the existing poverty levels in the region.

Fostering international cooperation between HEIs in the EU and LA, within the framework of the ALFA III programme, is mutually beneficial. Not only in terms of improving education results, but also in terms of establishing lasting links and reaching dialogue and mutual understanding, essential features to sustain an EU-LA Common Higher Education Area.

## 1.2. OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **general objective** of the Programme is to contribute to the development of Higher Education in LA as a means of stimulating a more balanced and equitable socio-economic development in the region.

The **specific objectives** of the Programme are:

- To help improve the quality, relevance and accessibility of Higher Education in LA, particularly for the most vulnerable groups;

---

<sup>1</sup> América Latina Formación Académica (Latin America – Academic Training)

<sup>2</sup> The ALFA Programme was launched for the first time in 1994 with a Community contribution equivalent to €32.41 million, enabling 846 projects to be funded between 1994 and 1999. The second phase of the programme, ALFA II, whose Community contribution totalled €55.5 million, was adopted by the European Commission in 1998 for a six-year period (2000-2006) and financed a total of 225 projects.

<sup>3</sup> Call for proposals in December 2008, for which Community funding of €19.34 million was allocated, financing 14 projects.

<sup>4</sup> The Call for Proposals launched in 2010 funded 19 projects with a total Community contribution of €31.62 million.

- To contribute to strengthening the process of regional integration in the area of Higher Education in LA, fostering progress towards the creation of a Common Higher Education Area in the region and promoting its synergies with the EU system.

Within the framework of the contribution to regional integration and social cohesion, the Programme will be developed according to the following **priorities**:

- Reform and modernisation of the HEIs and systems in the beneficiary countries, paying particular attention to the **most disadvantaged or vulnerable groups and to the poorest countries in the region**;
- Support HEIs and other relevant actors to progress towards the creation of a Common Higher Education Area in LA;
- Promotion of cooperation and set up of networks and sustainable links between HEIs from the two regions; boosting links between HEIs and the different actors that play a role in contributing to economic and social development.

The joint coordination (EU-LA or LA-LA) and the participation of non-HEI entities are considered to be suitable mechanisms that will enable a better efficiency, feasibility and sustainability of the Action.

The participation of associates (non HEIs), which contribute to social cohesion, regional integration, innovation, energy, environment, as well as those that favour the creation of links between the HEIs and the labour market, is deemed to be relevant. The associates will, therefore, generate multiplying effects and contribute to the creation of results and the dissemination of information.

This Call for Proposals comprises two lots which will be developed in parallel. Each lot covers its own priority sectors or topics which will be implemented through the various actions or projects carried out by the selected networks<sup>5</sup>. (Definition of the lots below, in point 2.1.5).

### 1.3 FINANCIAL ALLOCATION PROVIDED BY THE CONTRACTING AUTHORITY

The overall indicative amount made available under this call for proposals is € 23.621.125. The Contracting Authority reserves the right not to award all available funds.

#### **Indicative distribution of funds by lot:**

#### ***Lot 1: Joint Projects***

40%-50%

#### ***Lot 2: Structural Projects***

50%-60%

Where the minimum percentage set for a specific lot cannot be applied because the proposals are of inadequate quality or too few, the Contracting Authority reserves the right to reallocate the remaining funds to another lot.

---

<sup>5</sup> The framework of the current programme makes a distinction between "network" and "pre-established network". A "network" consists of the applicant and its partners and was set up to submit the grant application as required in Section III of the application form. A "pre-established network" is an entity, consortium or network of institutions/organisations which existed before submission of the grant application and which fulfils the conditions laid down in Section 2.1.1 of these Guidelines.

## Size of grants

Any grant awarded under this programme must fall between the following minimum and maximum amounts. Proposals that do not respect these thresholds will be rejected.

### *Lot 1: Joint Projects*

Minimum amount: €750,000  
Maximum amount: €1,250,000

### *Lot 2: Structural Projects*

Minimum amount: €1,500,000  
Maximum amount: €3,000,000

A grant **may not exceed the 80%** of the total eligible costs of the action (see also point 2.1.4). The balance must be financed by the applicant's or its partners' own resources, or by sources other than the EU budget.

## **2. RULES APPLICABLE TO THIS CALL FOR PROPOSALS**

These Guidelines set out the rules for the submission, selection and implementation of actions financed under this call, in accordance with the provisions of the Practical Guide to Contract Procedures for EC External Actions, which is applicable to the present call (available on the Internet at:

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

### **2.1 ELIGIBILITY CRITERIA**

There are three sets of eligibility criteria:

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

#### *2.1.1 Eligibility of applicants: conditions governing applications*

(1) In order to apply for a grant, applicants<sup>6</sup> **must** fulfil the following conditions:

- to be a legal person and
- to be non-profit making, and
- to have the nationality of one of the EU Member States or of one of the countries that come under the scope of the Regulation establishing a financial instrument for development cooperation<sup>7</sup>, and

<sup>6</sup> "Applicant" means the legal entity or legal person leading the network which presents the proposal and is answerable to the contracting authority. The applicant will act as the lead organisation coordinating the project and, if selected, as the contracting party (the "beneficiary").

<sup>7</sup> Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006. Available at: [http://ec.europa.eu/europeaid/work/procedures/documents/legislation/legal\\_bases/development\\_cooperation\\_en.pdf](http://ec.europa.eu/europeaid/work/procedures/documents/legislation/legal_bases/development_cooperation_en.pdf)

- to be directly in charge of the preparation and management of the action with their partners, not merely acting as an intermediary.

(2) In addition, each application must comply with the **specific criteria for each lot** (see point 2.1.5).

(3) Potential applicants may not take part in calls for proposals or apply for a grant if they are covered by one of the situations listed under point 2.3.3 of the Practical Guide to contract procedures for EC external actions (available at the following Internet address:

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

In section III part A 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 **must** act with partner institutions/organisations as specified hereafter:

#### (1) Partners

Partners will have to participate in designing and implementing the action, and the costs they incur on are eligible in the same way as those incurred on by the grant beneficiary. They must, therefore, comply with the same eligibility criteria as the applicants. Each partner must sign the **Declaration of Association** provided in the application form. The original application form submitted in the framework of this call shall contain all the signed originals of the association statements. Otherwise, the application will be rejected.

The network's composition should be settled as to attain the objectives of the project in the most efficient way. Each member must have an exact, precisely-defined role in the project design and implementation and this must be stated in the proposal. If the role of the partners in both the summary and the full proposal is not clearly established, it may be a reason for rejection.

Minimum criteria concerning the type and/or number of partners: See point 2.1.5 for specifications per lot.

#### (2) Non Partners

The following categories are not partners and are **not required to sign the partnership declaration**.

- Associates: their purpose is to help achieve the objectives and/or priorities laid down in point 1.2 of the Guidelines for Grant Applicants, as well as to attain a high impact and the sustainability of the Action. .

Such associates play a real role in the action but may not receive funding from the grant with the exception of per diems and travel costs. Each associate must have a defined role in the development and implementation of the project, especially with regard to the methodology, in order to achieve the objectives and priorities of the project. These roles have to be clearly stated in the proposal.

Associates do not have to meet the eligibility criteria referred to in section 2.1.1. They must be mentioned in Part B, Section IV (“Associates participating in the action”) of the grant application form. These entities may include, for example:

- public or semi-public authorities (ministries, national and/or provincial/regional administrative bodies) concerned with higher education,
- non-governmental organisations,

- public or private enterprises,
  - social partners or their training organisations,
  - chambers of commerce or other public or private professional organisations.
- Subcontractors:

Grant beneficiaries can award contracts to subcontractors. Subcontractors are neither partners nor associates, and are subject to the rules set out in Annex IV to the standard grant contract. In this case, the applicant will act as the lead organisation and, if selected, as the contracting party ("the beneficiary").

2.1.3 <i>Eligible actions: activities for which an application may be submitted</i>
---

Definition

An action (or project) consists of a set of activities.

Duration

The planned total duration of an action for both lots may not be lower than 24 months nor exceed 36 months.

Sectors or themes (by lot)

The Call for Proposals comprises **two** lots which will be developed in parallel. Each lot covers its **own** priority sectors or topics which are implemented through the various actions or projects carried out by the selected networks (specifications for lots in point 2.1.5).

Location

The actions are to be carried out in the following countries: the 27 EU Member States and the 18 Latin American countries (Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay and Venezuela).

The eligible actions in each lot are all those required to achieve the results set out in the proposal and which are not defined as ineligible in Section 2.1.4 of these Guidelines.

In order to benefit LA as much as possible and foster its socio-economic development, the proposals should carry out most of their main activities in LA. For this reason, at least 70% of the global budget of the Action must be spent in the above-mentioned LA countries. Expenses incurred in Latin America are:

- 1) expenses related to LA Partners;
- 2) expenses incurred in LA;
- 3) all expenses related to travel expenses in and to LA (EU-LA trips)

In order to check the compliance with this percentage, the Beneficiary will have to submit an Annual Activity Budget specifying the total amount and the location for each of the activities. This budget will be approved by the Contracting Authority.

## Evaluating activities and measuring the results

The proposed activities should include and provide a description of interim and final evaluations. To this regard, the proposals must establish performance and output indicators based on their specific contribution to achieving the general and specific objectives of the programme.

If the project is selected, these results will be definitely committed.

The following types of actions are **not** eligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions only or mainly focused on creating and/or maintaining specific training programs and post-graduates (eg. Masters or Doctoral courses);
- actions concerned only or mainly with individual scholarships for studies or training courses;
- pure research actions.

## Number of proposals and grants per applicant

In the current Call for Proposals, applicants may submit only **one proposal per lot** as project coordinator.

## Staff

The proposal must include the CVs (maximum 3 pages) of the coordinator of the applicant institution, as well as those of the partners in charge of the project implementation. The CVs will be considered an integral part thereof. To this end, they must use the European standard is available on the Web:

<http://europass.cedefop.europa.eu/europass/home/hornav/Downloads/navigate.action>

If the coordinator and/or any of those partners in charge of the project implementation, are currently participating in actions funded by the European Commission, the percentage of dedication of each of them shall be specified under the "Work Experience" of their CV.

Due to the cross-cutting nature and the privileged access to information of the Lot III in the ALFA III Programme, the staff that, at the date of publication of this Call for Proposal, works in the management of Lot III projects, either at headquarters or in one of its antennas in Latin America, will not be eligible.

### *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 budget is therefore both a cost estimate and a ceiling for "eligible costs". Please note that the eligible costs must be based on actual costs and that supporting documents must be provided (except for per diems or indirect costs where lump sum funding applies).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget (for instance arithmetical errors, inaccuracies or unrealistic costs and other ineligible costs). The checks may give rise to requests for clarification and may lead the Contracting Authority to impose modifications or reductions to address such mistakes or inaccuracies. The amount of the grant and the percentage of the 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 respect the provisions of Article 14 of the General Conditions governing the Standard Grant Contract (see Annex F).

### Contingency reserve

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

### Eligible indirect costs (overheads)

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

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

### Contributions in kind

Any contributions in kind, which must be listed separately in Annex B, do not represent actual expenditure and are not eligible costs. The contributions in kind may not be treated as co-financing by the beneficiary.

However, in this call for proposals, the staff costs assigned to the Action are not a contribution in kind and may be regarded as co-financing in the budget of the Action when paid by the beneficiary or its partners. The network can use current staff or staff employed specifically for the action should this be necessary for the project implementation. In such a case, the value of the staff costs allocated to the Action can not exceed the actual defrayed expenses and need to be justified by accounting statements.

### Ineligible costs (see standard contract)

The following costs are not eligible:

- debts and provisions for possible losses or debts;
- interest owed;
- items already financed in another framework;
- purchases of land or buildings, currency exchange losses;
- taxes, including VAT
- credits to third parties.

<b>2.1.5</b> <i>Specifications per lot</i>
--

#### **2.1.5.1 Lot 1 – Joint projects:**

##### 2.1.5.1.1 Eligibility of applicants: conditions governing applications

The applicants must be:

HEIs established in the EU or LA countries<sup>8</sup> and recognised as such by the competent authorities of the countries concerned.

#### 2.1.5.1.2 Partnerships and eligibility of partners

The network must guarantee the active participation of all members.

- Minimum requirements for partnerships: **6 HEIs** (as defined under point 2.1.1), all from different countries. I.e. the proposal should include at least 4 LA countries and 2 EU countries.
- The number of LA countries must be at least double the number of EU countries. If the network includes HEIs from all of the 18 Latin American countries, the above rule does not apply.

#### 2.1.5.1.3 Eligible actions: activities for which an application may be submitted

The joint projects will be carried out by networks of HEIs established in LA or the EU. The activities will be designed to encourage exchanges of experience between the institutions taking part in the Action and their implementation in the Latin American member institutions. They must aim to achieve tangible and measurable results in the field of **social cohesion**<sup>9</sup>. Including but not limited to:

- Access to HEIs for less privileged social groups, and measures to ensure they complete their studies there. Fostering the participation of HEIs from areas with a low HDI, related to minority groups.
- Links with the labour market and business and public sector (HEI-business-public institutions); promotion of entrepreneurship; applied research in relation to business and the public sector, etc.

#### Type of activities and expected results:

For Lot 1 projects, proposals must take into account **the replicability potential** of the actions in similar institutions in the Latin-American region, their **innovative character** and their **relevance** to local or regional needs.

Projects must lead to tangible and measurable results after implementation. The proposal must mention explicitly the indicators for measuring the results. If the project is selected, there will be a definite commitment to achieving these results.

The proposal cannot be limited to theoretical approaches; rather, it must be implemented at least as a pilot project in a specified number of participating Latin American entities. Including but not limited to: an administrative reform implemented in at least one faculty of each of the partners taking part in the project; the initiation of the first year of the new curriculum in X number of institutions; X number of students registered in the institutions making up the network, following the application of new criteria based on positive discrimination, etc.

**ALFA III is not a mobility programme.** However, when this is justified, the joint projects can also include mobility activities **if they are necessary to attain the objectives of the project**. These mobility actions can take the form of training placements or research internships, mainly for

---

<sup>8</sup> Latin America (LA) is understood to mean the 18 countries of Latin America set out in Annex I to Regulation (EC) No 1905/2006 of the European Parliament and of the Council of 18 December 2006: Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay and Venezuela.

<sup>9</sup> Lot 1 focuses on social cohesion, as a multi-sectoral and multi-thematic approach. Social Cohesion is one of the EC priorities, stated in the Regional Strategy Paper for LA 2007-2013.

administrative staff from the entities taking part and for academic staff or researchers with administrative duties. They can apply to students only in necessary and duly supported cases which must be specified in the proposal. ALFA III will only support student mobility on a small scale (maximum of 10 % of total budget) and for short periods of time (six months maximum).

ALFA III, as an institutional cooperation programme, does not focus on mobility or on specialised training, i.e. actions concerned only or mainly on creating and/or maintaining specific training programs and post-graduate degrees such as Masters or PhD courses.

For these purposes, there are other EU programmes such as "Erasmus Mundus", which were set up to facilitate flows of students and large-scale mobility between the EU and the beneficiary countries.

### **2.1.5.2 Lot 2 – Structural Projects**

#### 2.1.5.2.1 Eligibility of applicants: conditions governing applications

Applicants must be:

- HEIs established in the EU or LA countries and recognised as such by the competent authorities of the countries concerned, **or**
- Other entities (associations/organisations/pre-established networks or higher education entities) and/or other relevant players established in the EU or LA countries whose priority action area is Higher Education, with the exception of national public administrative bodies and international organisations<sup>10</sup>.

#### 2.1.5.2.2 Partnerships and eligibility of partners

The network must guarantee the active participation of all members.

- Minimum requirements for partnerships: 16 HEIs (as defined under point 2.1.1), all from different countries. The proposal shall therefore include at least 12 LA countries and 4 EU countries.
- The number of LA countries must always be at least double the number of EU countries. If the network includes HEIs from all of the 18 Latin American countries, the above rule does not apply.

#### 2.1.5.2.3 Eligible actions: activities for which an application may be submitted

The main goal of these projects will be to discuss and design structural mechanisms to promote the modernisation, reform and harmonisation of higher education systems at **regional level** in LA.

The structural projects will mainly promote convergence and/or harmonisation at intra-regional level and, where possible, links with progress made in the EU in this area. They may involve discussion of the challenges facing the area of Higher Education in order to address current regional problems so as to foster more balanced and equitable development in the Latin American society. They will encompass the following sectors or themes at **regional level**:

1. Modernisation of higher education systems in Latin America (strategic and structural plans):
  - a) Governance of HEIs and systems in the LA region with a view to contributing to the process of consolidation of a LA-EU Common Higher Education Area;
  - b) Curricular convergence at regional scale;
  - c) Common practices at regional scale for quality evaluation, accreditation and academic credits.

---

<sup>10</sup> See above.

## 2. Social cohesion

- a) Measures at regional scale to promote equitable access to Higher Education and social integration for underprivileged groups;
- b) University and society: links between universities and their surrounding environment (business, government, civil society, etc).

### Type of activities and expected results:

Lot 2 projects will have to take into account the relevance of the **regional and structural nature of the Action** and their innovative nature. Depending on the themes chosen, actions might promote sector or thematic dialogue at regional or inter-regional level<sup>11</sup> between the relevant actors (including the participation of regional/national authorities, associations, etc) linked with higher education; promote the dissemination/adoption of best practices; conduct studies and/or research into and/or systematisation of experiences relating to specific problems/challenges in the region and of progress already made.

Projects must lead to tangible and measurable results after implementation. The indicators used to measure results must be set out in the proposal. If the project is selected, there will be a definite commitment to achieving these results. The expected results could, for instance, fall within one of the following priority thematic areas: sectorial-political guidelines, joint strategies, joint action plans, agreements, etc.

## **2.2. HOW TO APPLY - PROCEDURES TO FOLLOW**

Please note that prior registration in PADOR<sup>12</sup> is **compulsory**.

- **Phase 1. Concept Note:** PADOR registration is compulsory for applicants
- **Phase 2. Full Proposal:** PADOR registration is compulsory for pre-selected applicants and their partners.

PADOR is an on-line database in which organisations register themselves and regularly update their data. Data provided by organisations in PADOR are used by the European Commission to check the eligibility of the organisations that participate in calls for proposals.

In PADOR, the organisations must include the same data required in Chapters II (regarding the main applicants) and III (regarding the main applicant's partners) of the paper version of the application form. These data concern the organisations themselves and are not linked to the proposed project.

The organisations are given an identity number by EuropeAid (EuropeAid ID) after having completed the registration process, which consists of inputting, storing and sending consistent information to all the PADOR screens (such as sector experience and location, financial data, etc.).

Before starting to register your organisation in PADOR, **please check:**

- Frequently Asked Questions (FAQ);
- PADOR user's guide;
- Online training module.

---

<sup>11</sup> LA-EU.

<sup>12</sup> <http://ec.europa.eu/europeaid/onlineservices/pador>.

These three documents are available on the following web page:  
[http://ec.europa.eu/europeaid/onlineservices/pador/index\\_en.htm](http://ec.europa.eu/europeaid/onlineservices/pador/index_en.htm)

Before starting to register your organisation in PADOR, make sure that nobody else in your organisation has already registered it. If someone has already done so, contact that person to obtain the EuropeAid identity number (EuropeAid ID) of your organisation.

Notwithstanding this, the applicant can submit a request for derogation concerning its registration in PADOR. A reasoned request for derogation should be sent to the Contracting Authority at the address indicated in these Guidelines at the latest 21 days before the deadline for submission. The Contracting Authority must reply within 11 days at most before the deadline for submission of the projects. The justification for a derogation must be based on the fact that it is materially impossible for the applicant to have access to the technology required to register in PADOR. This material impossibility should be beyond the control of the applicant and should, in principle, be of a general nature (i.e. not attributable to the specific circumstances of the applicant itself). The applicant should, where possible, provide supporting documents substantiating its request. The Contracting Authority must give reasons justifying its reply. The derogation applies to applicants who ask for it, but only in the context of a specific call for proposals, unless the Contracting Authority decides there are grounds for a general derogation for the said call for proposals. In this case, the data will be entered in PADOR by the European Commission. Should the organisation wish to update the data itself later on, it must submit an access request.

The organisations must fill in, save and send the information entered in every PADOR field before the deadline for submitting the Concept Note (applicant information) and Full Proposal (information on all partners). Only those data recorded and sent before the deadline for submitting the Concept Note and the Full Proposal will be taken into consideration by the European Commission. The organisations are responsible for the truth and accuracy of the data entered in PADOR from the moment they submit their data (this information will be evaluated according to the Full Proposal's evaluation grid Section 1: Financial and OperationalCapacity).

All questions concerning PADOR registration should be addressed to PADOR helpdesk mailbox: [europeaid-on-line-registration-hd@ec.europa.eu](mailto:europeaid-on-line-registration-hd@ec.europa.eu).

### *2.2.1 Concept Note content*

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

The Concept Note should follow the below mentioned criteria:

- Not to exceed 4 full pages (A4 size), Arial 10 characters, 2 cm margins; otherwise, the proposal may be rejected;
- To meet the requirements listed in Part A of the application form (Relevance of the Action, Description of the Action and its Effectiveness, Sustainability of the Action). The size of each section should reflect the relative importance of each part of the Action. The Applicant may provide any additional information it deems necessary for the evaluation, even if it has not been specifically requested (e.g. added value and/or synergies with similar - past, present, or planned - interventions; multiplying or spill-over effects, advantages of the applicant to perform the action, etc.). The evaluation will be done according to the evaluation grid and will be based exclusively on the information provided by the applicant in the Concept Note.
- To be drafted as clearly as possible in order to facilitate its assessment.

Please note that only the Concept Note will be evaluated at this stage. It is therefore of utmost importance that this document contains ALL relevant information concerning the Action. No additional attachments are allowed.

Applications must be submitted in English, French, Spanish or Portuguese.

In the Concept Note, the applicants must only provide an estimate of the total costs of the action together with the amount of contribution and percentage requested from the Contracting Authority. Only the applicants invited to submit a full application in the second phase will be required to present a detailed budget. The elements assessed on the basis of the Concept Note may not be modified by the applicant in the Full Application Form. The EU contribution may not vary from the initial estimate by more than 20%. The applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in the present Guidelines under section 1.2. **Any error or major discrepancy** related to the points listed in the instructions on the Concept Note may lead to the rejection of the Concept Note.

Hand-written Concept Notes will not be accepted.

2.2.2 <i>Where and how to send Concept Notes</i>
--

The Concept Note together with the Checklist for the Concept Note (Part A section II of the grant application form) and the Declaration by the applicant for the Concept Note (Part A section III of the grant application form) must be submitted in **one original and 2 copies** in A4 size, each bound. For economical and ecological reasons, we strongly recommend that you submit your files on paper-based materials (no plastic folder or divider). We also suggest you use double-sided print-outs as much as possible.

Concept Notes will also be presented in 2 copies in electronic format (USB or CD-Rom). The electronic format must contain **exactly the same** application as the paper version enclosed.

Should an applicant send several concept notes (max. 1 per lot), each of them will have to be sent separately.

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

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

Postal address:

European Commission  
DG EuropeAid Development and Cooperation  
Attn. Mr Basile T. Papadopoulos  
Unit B2 J-54 4/013  
Avenue de Bourget 1  
B-1049 Brussels  
Belgium

Address for hand delivery or delivery by private courier service

European Commission  
DG EuropeAid Development and Cooperation  
Attn. Mr Basile T. Papadopoulos  
Unit B2 J-54 4/013  
Avenue de Bourget 1  
B-1140 Brussels  
Belgium

Opening hours: 08.00-17.00 Monday to Thursday; 08.00-16.00 Fridays.

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

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

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

The deadline for the submission of Concept Notes is **25/03/2011** as evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is 25/03/2011 at 16.00h (Brussels date and time) as evidenced by the signed and dated acknowledgement of receipt. Any application submitted after the deadline will be automatically rejected.

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

### *2.2.4 Further information for Concept Note*

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

E-mail address: [europaaid-alfa-convoc-III3@ec.europa.eu](mailto:europaaid-alfa-convoc-III3@ec.europa.eu)

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

Replies will be published no later than 11 days before the deadline for the submission of Concept Notes.

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

Questions that may be relevant to other applicants, together with the answers, will be published on the internet at the DG EuropeAid Development and Cooperation website:

- <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?ADSSChck=1229937639916&do=publi.welcome&userlanguage=en>
- [http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/index\\_en.htm](http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/index_en.htm)

It is therefore strongly advised to regularly consult the above website to keep abreast of the questions and answers posted.

### *2.2.5 Full Application Form*

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

The elements assessed on the basis of the Concept Note cannot be modified by the applicant in the Full Application Form. The EU contribution may not vary from the initial estimate by more than 20%,

while the applicant is free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these Guidelines under section 1.2.

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

Please complete the Full Application Form carefully and as clearly as possible so that it can be assessed properly.

Any error related to the points listed in the Checklist (Part B, Section V of the Grant Application form) or any major inconsistency in the Full Application Form (e.g. the amounts mentioned in the budget are inconsistent with those mentioned 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 Contracting Authority from conducting an objective assessment.

Hand-written applications will not be accepted.

Please note that only the Full Application Form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators and assessors. It is therefore of utmost importance that these documents contain ALL relevant information concerning the action. **No supplementary annexes should be sent.**

#### 2.2.6 *Where and How to send the Full Application Form*

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

Postal address:

European Commission  
DG EuropeAid Development and Cooperation  
Attn. Mr Basile T. Papadopoulos  
Unit B2 J-54 4/013  
Avenue de Bourget 1  
B-1049 Brussels  
Belgium

Address for hand delivery or delivery by private courier service

European Commission  
DG EuropeAid Development and Cooperation  
Attn. Mr Basile T. Papadopoulos  
Unit B2 J-54 4/013  
Avenue de Bourget 1  
B-1140 Brussels  
Belgium

Opening hours: 08.00-17.00, Monday to Thursday; 08.00-16.00, Fridays

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

The application forms must be presented in **one original and 2 copies** in A4 size, each bound. The Full Application form, budget and logical framework must also be supplied in electronic format (USB or CD-Rom) in a separate and single file (i.e. the Full Application Form must not be split into several

different files). The electronic format must contain **exactly the same** proposal as the paper version enclosed. For economical and ecological reasons, we strongly recommend that you submit your files on paper-based materials (no plastic folder or divider). We also suggest you use double-sided print-outs as much as possible.

The checklist (Section V of part B the grant application form) and the Declaration by the applicant (Section VI of part B of the grant application form) must be stapled **separately** and enclosed in the envelope.

Should an applicant send several concept notes (max. 1 per lot), each of them will have to be sent separately.

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

**Applicants must verify that their application is complete using the checklist (section V of part B of the Grant Application form). Incomplete applications may be rejected.**

#### **2.2.7**     *Deadline for submission of Full Application Form*

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

However, for reasons of administrative efficiency, the Contracting Authority can reject any Proposal received after the date of approval of the evaluation report for Full Applications (see indicative calendar under section 2.5.2).

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

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

E-mail address: [europaaid-alfa-convoc-III3@ec.europa.eu](mailto:europaaid-alfa-convoc-III3@ec.europa.eu)

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

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

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

Questions that may be relevant to other applicants, together with the answers, will be published on the internet in the DG EuropeAid Development and Cooperation website:

- <https://webgate.ec.europa.eu/europaaid/online-services/index.cfm?ADSSChck=1229937639916&do=publi.welcome&userlanguage=en>
- [http://ec.europa.eu/europaaid/where/latin-america/regional-cooperation/alfa/index\\_en.htm](http://ec.europa.eu/europaaid/where/latin-america/regional-cooperation/alfa/index_en.htm)

It is therefore strongly advised to regularly consult the above website to keep abreast of the questions and answers posted.

## 2.3 EVALUATION AND SELECTION OF APPLICATIONS<sup>13</sup>

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

If it becomes clear from an examination of the proposal that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the proposal will be rejected on this basis.

### STEP 1: OPENING AND ADMINISTRATIVE CHECKS

The following will be assessed:

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

Following the opening session and administrative check, the Contracting Authority will send a letter to all applicants informing them whether their applications have been sent within the prescribed period, the reference number assigned to them and whether their application will be further assessed<sup>14</sup>.

### STEP 2: EVALUATION OF THE CONCEPT NOTE

The evaluation of the Concept Notes that have passed the first administrative check will cover the relevance and design of the Action, its merits and effectiveness, and its viability and sustainability. The Contracting Authority reserves the right to skip the evaluation of the Concept Notes whenever this is considered justified (for example when a smaller number of proposals than expected are received) and to directly invite the applicants to send the Full Application Form.

Please note that the scores awarded to the Concept Note are completely separate from those given to the full application.

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

If the examination of the concept note reveals that the proposed action does not meet the eligibility criteria stated in paragraph 2.1.3, the proposal will be rejected on that basis alone.

---

<sup>13</sup> Practical Guide to contract procedures for EC external actions  
[http://ec.europa.eu/europeaid/work/procedures/implementation/practical\\_guide/index\\_en.htm](http://ec.europa.eu/europeaid/work/procedures/implementation/practical_guide/index_en.htm).

<sup>14</sup> The deadline for sending this letter to the applicant will depend on the number of proposals received

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 = acceptable, 4 = satisfactory and 5 = very good.

	<b>Score</b>	
<b>1. Relevance of action</b>	<b>Partial score</b>	<b>15</b>
1.1 Relevance of the problems to the needs of the country/region and its limitations which must be overcome, and to the needs of the target groups and final beneficiaries in particular	<b>5</b>	
1.2 Relevance to the priorities and objectives mentioned in the Guidelines	<b>/5(x2)*</b>	
<b>2. Effectiveness and feasibility of action</b>	<b>Partial score</b>	<b>25</b>
2.1 Evaluation of the analysis and description of the problem	<b>/5</b>	
2.2 Evaluation of the proposed activities (feasibility and coherence in terms of objectives, purpose and expected results)	<b>/5(x2)*</b>	
2.3 Evaluation of the role and involvement of all the proposed actors and partners	<b>/5(x2)*</b>	
<b>3. Sustainability of action</b>	<b>Partial score</b>	<b>10</b>
3.1 Evaluation of the description of the main assumptions and risks before the start-up and during the implementing period	<b>/5</b>	
3.2 Evaluation of the description of the long-term impact on the target groups and final beneficiaries	<b>/5</b>	
<b>Maximum total score</b>		<b><u>50</u></b>

\* The score is doubled, depending on its 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 received a minimum score of 30 points will be considered for pre-selection.

Secondly, the list of Concept Notes will be reduced in line with the ranking to those in which the amount requested is twice the available budget (per lot) for this call for proposals. The Evaluation Committee will subsequently proceed with the evaluation of the full proposals of the pre-selected applicants.

**The preselected applicants will subsequently be invited to submit the full applications**

### **STEP 3: EVALUATION OF THE FULL APPLICATION**

#### **OPENING SESSION AND ADMINISTRATIVE CHECK OF THE FULL APPLICATION FORM**

The following aspects will be assessed:

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

Following the opening session and administrative check, the Contracting Authority will send a letter to all applicants informing them whether their application has been sent within the deadline and whether it will be further evaluated

## 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 its partners, will be carried out in accordance with the evaluation criteria set out in the evaluation grid 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 of implementation of the Action and, where appropriate, to participate in its funding;
- The management capacity and professional skills and qualifications required to successfully complete the proposed Action. This also applies to any partner the applicant may have.

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

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

*Scores:*

The evaluation criteria are divided into sections and subsections. Each subsection will be given a score of between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = acceptable; 4 = satisfactory; 5 = very good. The applications with the highest scores will be given priority when grants are awarded.

### Evaluation Grid

Section	Maximum score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1. Do the applicant and partners have sufficient <b>experience on project management</b> ?	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 <b>management capacity</b> ? (in particular as regards staff, equipment and ability to handle the budget for the action)	5
1.4. Does the applicant have stable and sufficient sources of <b>finance</b> ?	5
<b>2. Relevance</b>	<b>25</b>
2.1. How relevant is the proposal to the <b>objectives</b> and one or more of the <b>priorities</b> of the call for proposals? N.B.: A score of 5 (very good) will be allocated only if the proposal specifically addresses at least <b>one priority</b> . N.B.: A score of 5 (very good) will be allocated only if the proposal contains specific	5 x 2

added-value elements, such as promotion of gender equality and equal opportunities, etc.	
2.2. How relevant to the particular <b>needs and constraints</b> of the target country/countries or region(s) is the proposal? (including avoidance of duplication and synergy with other EC initiatives.)	5
2.3. How clearly defined and strategically chosen are those involved (final beneficiaries, <b>target groups</b> , etc.)? Have their <b>needs</b> been clearly defined and does the proposal address them appropriately?	5 x 2
<b>3. Methodology</b>	<b>25</b>
3.1. Are the <b>activities</b> proposed appropriate, practical, and consistent with the objectives and expected results?	5
3.2. 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 provide for <b>evaluation</b> ?)	5
3.3. Is the <b>degree of involvement and participation of partners in activities</b> satisfactory?	5
3.4. Is the <b>action plan</b> clear and feasible?	5
3.5. Does the proposal contain <b>objectively verifiable indicators</b> for the outcome of the action?	5
<b>4. Sustainability</b>	<b>15</b>
4.1. Is the action likely to have a tangible <b>effect</b> on its target groups?	5
4.2. Is the proposal likely to have <b>multiplier effects</b> ? (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 action <b>sustainable</b> : - from a financial point of view? ( <i>How will activities be financed when the grant ends?</i> ) - from an institutional point of view? ( <i>Will structures allowing the activities to continue to be in place at the end of the action? Will there be local "ownership" of action outcomes?</i> ) - from a political point of view (if applicable)? ( <i>What structural impact will the action have? For example, will it lead to improved legislation, codes of conduct, methods, etc?</i> )	5
<b>5. Budget and cost-effectiveness</b>	<b>15</b>
5.1. Is the ratio of the estimated costs to the expected results satisfactory?	5
5.2. Is the proposed expenditure <b>necessary</b> for the implementation of the action?	5 x 2
<b>Maximum total score</b>	<b>100</b>

*Note on Section 1. Financial and operational capacity*

If the total average score is less than 12 points for Section 1, the Evaluation Committee will reject the proposal.

Provided that they meet the minimum requirements in the evaluation grid, the Commission will award 5 additional points to proposals that include at least two of the following eight countries: Bolivia, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Paraguay and Peru.

*Provisional selection*

Following the technical evaluation, a table listing the proposals ranked by score and within the available financial envelope will be established as well as a reserve list based on the same criteria.

N.B.: The scores awarded in this phase are completely separate from those given to the concept note of the same application.

## STEP 4: VERIFICATION OF ELIGIBILITY OF THE APPLICANT AND PARTNERS

The eligibility verification, based on the supporting documents requested by the Contracting Authority (see section 2.4) will only be performed for those proposals that have been provisionally selected on the basis of their score and within the available financial envelope.

- The applicant's declaration (Section VI of Part B of the grant application form) will be cross-checked with the supporting documents provided by the applicant. Any missing supporting document or any inconsistency between the applicant's declaration and the supporting documents can constitute **sufficient grounds** for rejecting the proposal.
- The eligibility of the applicant, the partners and the Action will be verified according to the criteria set out in sections 2.1.1, 2.1.2 and 2.1.3.

Following the above analysis, and if necessary, any rejected 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 the partners.

### 2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED PROPOSALS

Applicants who have been provisionally selected or included on the reserve list will be informed in writing by the Contracting Authority. They will be requested to supply the following documents in order to allow the Contracting Authority to verify the eligibility of the applicants and their partners. Supporting documents must be submitted via PADOR (see Section 2.2).

1. The statutes or articles of association of the applicant organisation<sup>15</sup> and, where appropriate, of each partner organisation. If the Contracting Authority has recognised the applicant's eligibility in another Call for Proposals under the same budget item in the two years preceding the deadline for the submission of proposals, the applicant may submit the documents proving the eligibility of its application in the previous Call for Proposals (such as a copy of the specific conditions governing the grant contract received within the two-year reference period), rather than a copy of the statutes, unless the applicant's legal status has changed since that time.

2. Where the grant requested exceeds €500,000, an external audit report must be produced by an approved auditor, certifying the accounts for the last financial year available. This obligation does not apply to public bodies, nor to HEIs.

3. Copy of the applicant's latest accounts (the profit and loss account and the balance sheet for the previous financial year for which the accounts have been closed)<sup>16</sup>.

4. Legal entity sheet (see Annex D) 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 has occurred in the meantime.

5. A financial identification form conforming to the model attached in Annex E, certified by the bank to which the payments will be made. This bank must be located in the country where the applicant is registered. If the applicant has already signed a contract with the European Commission or where the European Commission has been in charge of the payments of a contract, a copy of the previous

---

<sup>15</sup> If the applicant or partner(s) is or are a public body incorporated on the basis of a particular law, a copy of that law must be provided.

<sup>16</sup> This obligation does not apply to natural persons in receipt of a scholarship, to public bodies or to international organisations. It does not apply either when the accounts are in practice the same documents as the external audit report already provided pursuant to point 2.4.2.

financial identification form may be provided instead, unless a change in its bank account has occurred in the meantime.

If the supporting documents have not been entered in PADOR, they must be submitted as follows: the originals or copies or scanned versions (with legible stamps, signatures and dates) of these originals. However, the legal entity sheet and the financial identification form must always be submitted in the original.

Where such documents are **not** in one of the EU official languages, a translation into one of the languages of the Call for Proposals of their relevant parts, proving the applicant's eligibility, must be provided. This translation will prevail for the purpose of analysing the proposal.

Where these documents are in an EU official language other than one of the language(s) of the Call for Proposals, it is **strongly** recommended, in order to facilitate the evaluation, to provide a translation into one of the languages of the Call for Proposals of the relevant parts of the documents, proving the applicant's eligibility.

If the supporting documents are not provided before the set deadline (15 calendar days from the receipt of the letter sent by the Contracting Authority), the application may be rejected.

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

## 2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION

### 2.5.1. Content of the decision

Applicants will be informed in writing of the Contracting Authority's decision on their application and, if rejected, the grounds on which that decision was taken.

Applicants that believe they have been harmed by an error or irregularity during the award process can lodge a complaint. For more information, see Section 2.4.1.6 of the Practical Guide to contract procedures for EC external actions.

### 2.5.2. Indicative timetable

	DATE	TIME*
<b>Deadline for requesting clarifications from the Contracting Authority</b>	21 days before the submission deadline	16.00 hours
<b>Last date on which clarifications are issued by the Contracting Authority</b>	11 days before the submission deadline	16.00 hours
<b>Deadline for submission of Concept Notes</b>	25/03/2011	16.00 hours
<b>Information to applicants on the opening &amp; administrative check (step 1)</b>	06/05/2011	
<b>Information to applicants on the evaluation of Concept Notes (step 2)</b>	10/06/2011	
<b>Invitation for submission of Full Application forms</b>	10/06/2011	

<b>Deadline for submission of Full Application Forms</b>	25/07/2011	16.00 hours
<b>Information to applicants on the evaluation of Full Application Forms (step 3)</b>	05/10/2011	
<b>Notification of award (after the eligibility check) (step 4)</b>	04/11/2011	
<b>Contract signature</b>	16/12/2011	

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

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

Following the decision to award a grant, the beneficiary will be offered a contract based on the Contracting Authority's standard contract (see Annex F). On signing the application (Annex A), the applicant declares that if a grant is awarded, he accepts the contract conditions as laid down in the standard contract.

### Implementing contracts

Where implementation of the action requires the beneficiary to award procurement contracts, it must award the contract to the tenderer offering the most economically advantageous tender, that is to say, the best price-quality ratio, in compliance with the principles of transparency and equal treatment of potential contractors, with 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 CENTRAL EXCLUSION DATABASE AND EARLY WARNING SYSTEM**

Applicants and, in the case of legal entities, the persons authorised to represent, take decisions for or manage these entities, are hereby informed that, should they find themselves in one of the situations referred to in:

- the Commission Decision of 16 December 2008 on the Early Warning System (EWS) for the use of authorising officers of the Commission and the executive agencies (OJ L 344, 20 December 2008, p. 125);
- the Commission Regulation (EC/Euratom) No 1302/2008 of 17 December 2008 on the central exclusion database (OJ L 344, 20 December 2008, p. 12),

their personal data (name and surname, in the case of natural persons, address, legal status, name and surname of persons with representation, decision-making or management powers, in the case of legal entities) could be included in the EWS only or in the EWS and in the central exclusion database and could be communicated to the entities included in the said Decision and Regulation with regard to the award or performance of a contract or grant contract or decision.

### **3. LIST OF ANNEXES**

#### **3.1. DOCUMENTS TO BE FILLED IN**

ANNEX A: GRANT APPLICATION FORM (WORD FORMAT)

ANNEX B: BUDGET (EXCEL FORMAT)

ANNEX C: LOGICAL FRAMEWORK (EXCEL FORMAT)

ANNEX D: LEGAL ENTITY SHEET (EXCEL FORMAT)

ANNEX E: FINANCIAL IDENTIFICATION FORM

#### **3.2. DOCUMENTS FOR INFORMATION**

ANNEX F: STANDARD CONTRACT

- ANNEX II : GENERAL CONDITIONS APPLICABLE TO EUROPEAN UNION-FINANCED GRANT CONTRACTS FOR EXTERNAL ACTIONS
- ANNEX IV: PROCUREMENT PROCEDURES
- ANNEX V: PAYMENT APPLICATION FORM.
- ANNEX VI: STANDARD FINANCIAL AND NARRATIVE REPORT.

[- ANNEX VII: STANDARD REPORT OF FACTUAL FINDINGS AND TERMS OF REFERENCE FOR THE EXPENDITURE VERIFICATION OF AN EU-FINANCED GRANT CONTRACT FOR EXTERNAL ACTIONS.]

[- ANNEX VIII MODEL FINANCIAL GUARANTEE]

ANNEX G: Daily allowance rates (per diems), available at the following address:

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

GUIDELINES ON PROJECT MANAGEMENT CYCLE

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

#### **3.3 ALFA PARTNER SEARCH**

[http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/partner-search\\_en.htm](http://ec.europa.eu/europeaid/where/latin-america/regional-cooperation/alfa/partner-search_en.htm)