



**Contracting Authority:**European Commission

## **Civil Society Fund II - Call for proposals for large grants 2015**

### **Guidelines for grant applicants**

CRIS Decision No. ET/FED/023-891

10th European Development Fund

Reference:

EuropeAid/150250/DD/ACT/ET

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

**15/09/2015 at 15:00 (Brussels date and time)**

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

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

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

## NOTICE

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

### Online submission via PROSPECT

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

#### **Preparation: Information session and user manuals**

To help applicants familiarise themselves with the system before the online submission, an information session will be organised on July 30 (Addis Ababa), July 31 (Bahir Dar & Hawassa), August 3 (Mekele), August 4 (Dire Dawa), August 5 (Jijiga), August 6 (Assosa & Gambella) and August 7 (Semera).

Should you be interested in this session, please send an email by July 30, 2015 at 11:00 Brussels time (for Addis Ababa), to [DELEGATION-ETHIOPIA-CSF@eeas.europa.eu](mailto:DELEGATION-ETHIOPIA-CSF@eeas.europa.eu) and [csf2helpdesk@gmail.com](mailto:csf2helpdesk@gmail.com), indicating: name, surname, nationality and email address of the persons who are going to participate as well as their organisation (max. two participants per organisation). No costs incurred by the applicants for attending this information session are reimbursable.

All organisations can find the PROSPECT users' manual on the EuropeAid website. You may also contact our technical support team via the online support form in PROSPECT<sup>3</sup>.

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

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# 1 CIVIL SOCIETY FUND II - CALL FOR PROPOSALS FOR LARGE GRANTS 2015

## 1.1 BACKGROUND

The development cooperation between Ethiopia and the European Union is governed by the African, Caribbean and Pacific group of states (ACP)–EU partnership Agreement, known as the Cotonou agreement, signed in June 2000, and revised in 2005 and 2010. The overarching objective of the agreement is to promote the development of a common strategic approach to poverty reduction, consistent with the objectives of sustainable development. In its article 4, the agreement stipulates that Non-States Actors (NSA) shall, where appropriate: be informed and involved in consultation on cooperation policies in areas that concerns or directly affect them, and on the policy dialogue; provided with financial resources in order to support local development processes, and involved in the implementation of cooperation projects and programmes in areas that concern them or where these actors have a comparative advantage”. Additionally, article 33 states that “cooperation shall span all areas and sectors of cooperation to foster the emergence of non-state actors and the development of their capacities; and to strengthen structures for information, dialogue and consultation between them and national authorities including at regional level”. The EU-Ethiopia 11th European Development Fund (EDF) National Indicative Programme (NIP) for 2014-2020 also reflects this commitment to develop NSAs’ role in improving governance, deepening democracy and playing a more active role in Ethiopia’s development process. Enhancing human rights, democracy and good governance also features prominently in both the EU’s Agenda for change (2014) and the African Union Charter on Democracy, Elections and Governance (2012).

The Civil Society Fund II 2nd phase is operating within this backdrop and is intended to increase and improve the NSAs’ role in the national development and democratisation process of Ethiopia, capitalising on the lessons learnt from the work already done under its predecessor programmes (CSF I phase 1 and 2, and CSF II phase 1) as well as other programmes (Civil Society Support Programme - CSSP and the second phase of Ethiopian Social Accountability Programme - ESAP 2) and other relevant EU budget lines (such as EIDHR). Considering that the CSF II resources have been designated by the Government of Ethiopia as “local resources”, this call is based on the understanding that development challenges facing Ethiopia cannot be addressed by the government alone but by all, including NSAs and the private sector. While the state carries the primary responsibility for development and democratic governance, synergies between state- and non-state actors help to overcome challenges of poverty, widening inequalities, social exclusion and unsustainable development. The participation of NSAs in policy processes is key to ensuring inclusive and effective policies leading to more accountable government, social cohesion and more open and deeper democracy.

In order to address the developmental challenges faced by Ethiopia, while sustaining the fast economic growth and deepening democracy and a democratic culture, various forms of engagement are required. Civil society organisations have undertaken many initiatives to give effect to the notions of development and governance. These initiatives and projects have ranged from the piloting of innovative basic social service delivery mechanisms in remote areas to the facilitation of consultations and dialogue between citizens and government at different levels to improve the planning and coordination of development endeavours and to promote good governance. Both the Ethiopian government and the Ethiopian NSAs recognise the need for a constructive engagement and collaboration at local, regional and federal levels.

## 1.2 OBJECTIVES OF THE PROGRAMME AND PRIORITY ISSUES

The **global objective** of the Civil Society Fund II and that of this Call for Proposals is to improve and increase the role of NSAs in the national development and democratisation process.

The **specific objective** of this programme and that of this CfPs is to increase the capacity of Ethiopian NSAs to engage in governance and development activities. The following are the expected results of CSF II:

1. Increased human, material and technical capacity of NSAs to engage in governance and development;

2. Increased sustainability, accountability and constituency of NSAs working on governance and development; and
3. More effective and efficient delivery of services in the governance and development sectors.

All applications must address the following overarching priority (reflected in concept note evaluation criterion 1.1):

- Actions must be designed in a way that includes a combination of interventions at community/local level with national-level activities or must create a clear link between these two levels of interventions and articulate how action at one level creates benefits at the other.
- Actions must be either innovative and forward thinking or clearly reflect lessons learnt from previous experiences and must form part of an effort to contribute to a better understanding of development and further inform the field of democratic governance through formal knowledge management.
- Actions must strike a balance between the dual role generally assumed by NSAs according to the ACP agreement and recognised in the EU-Ethiopian cooperation which are one of service providers (or implementing agencies) and of partners in dialogue (or advocacy agents), recognising that a professional involvement within the developmental sphere naturally leads to engaging with governance and rights issues and vice versa.

The following will be considered as an added-value (and reflected in evaluation criterion 1.4 of the concept note):

- Inclusion of concrete gender mainstreaming elements in the actions both in terms of activities undertaken and measurement of the gender impact of the project
- Inclusion of activities in one of the four emerging regions (Gambella, Somali, Afar, Benishangul Gumuz regions)
- Inclusion of targeting the most vulnerable and weak segments of society, including minorities
- The project design includes dialogue between NSAs, between NSAs and stakeholders, including communities and constituencies, or NSA and government as means of strengthening project implementation and impact.

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

The overall indicative amount made available under this call for proposals is EUR 4,000,000. The Contracting Authority reserves the right not to award all available funds.

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

#### **Lot 1: Supporting the Ethiopian NSAs' role in natural resources management - EUR 1,600,000.00**

This lot has been indicatively divided into two sub-lots with the following indicative financial envelopes:

Lot 1.1	Innovative local-level NSA actions for mitigation and adaptation to climate change	<b>€ 900,000.00</b>
Lot 1.2	Innovative actions to strengthen socio-economic benefits and reduce negative impacts of natural resources based initiatives	<b>€ 700,000.00</b>
<b>Total</b>		<b>€ 1,600,000.00</b>

*NB: The financial envelope indicated above for each sub-lot is merely an indication of the respective importance of the sub-priority within each lot.*

## **Lot 2: Supporting the Ethiopian NSAs' role in deepening governance - EUR 1,800,000.00**

This lot has been indicatively divided into three sub-lots with the following indicative financial envelopes:

Lot 2.1	Strengthening dialogue and awareness on socio-economic entitlements in the focal areas of the GTP	<b>€ 500,000.00</b>
Lot 2.2	Provision of innovative governance services, including actions to end GBV/VAW and promote gender equality	<b>€ 800,000.00</b>
Lot 2.3	Media based NSA actions to strengthen governance	<b>€ 500,000.00</b>
<b>Total</b>		<b>€ 1,800,000.00</b>

*NB: The financial envelope indicated above for each sub-lot is merely an indication of the respective importance of the sub-priority within each lot.*

## **Lot 3: Supporting a multi-stakeholder, constituency-based approach to strengthen the NSAs' role in development- EUR 600,000.00**

This lot aims at increasing the role of civil society in promoting inclusive development and entrenching democratic principles through enhanced organisational and institutional capacity of the whole range of non-state actors locally, individually and of NSAs as a sector, by supportive collaborative agreements, joint projects and collective actions

If the allocation indicated 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.

### **Size of grants**

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

- Minimum amount: EUR 150,000.00
- Maximum amount: EUR 250,000.00

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

- Minimum percentage: 50 % of the total eligible costs of the action.
- Maximum percentage: 95 % of the total eligible costs of the action (see also Section 2.1.5).

The balance (i.e. the difference between the total cost of the action and the amount requested from the Contracting Authority) must be financed from sources other than the European Union Budget or the European Development Fund<sup>4</sup>.

The grant may cover the entire eligible costs of the action if this is deemed essential to carry it out. If that is the case, the lead applicant must justify full financing in Annex A.2. section 2.1 (see section 6.3.9. of the PRAG: [http://ec.europa.eu/europeaid/about-funding\\_en](http://ec.europa.eu/europeaid/about-funding_en)).

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4 Where a grant is financed by the European Development Fund, any mention of European Union financing must be understood as referring to European Development Fund financing.

## 2 RULES FOR THIS CALL FOR PROPOSALS

These guidelines set out the rules for the submission, selection and implementation of the actions financed under this call, in conformity with the Practical Guide, which is applicable to the present call (available at <http://ec.europa.eu/europeaid/prag/document.do?locale=en>)<sup>5</sup>.

### 2.1 ELIGIBILITY CRITERIA

There are three sets of eligibility criteria, relating to:

- (1) The actors:
  - The **lead applicant**, i.e. the entity submitting the application form (2.1.1),
  - if any, its **co-applicant(s)** (**where it is not specified otherwise the lead applicant and its co-applicant(s) are hereinafter jointly referred as "applicant(s)"**) (2.1.1),
  - and, if any, **affiliated entity(ies)** to the lead applicant and/or to a co-applicant(s). (2.1.2);
- (2) The actions:
  - Actions for which a grant may be awarded (2.1.4);
- (3) The costs:
  - types of cost that may be taken into account in setting the amount of the grant (2.1.5).

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

##### **Lead applicant**

- (1) In order to be eligible for a grant, the lead applicant must:
  - Be a legal person **and**
  - Be non-profit-making **and**
  - Be a specific type of Ethiopian organisation such as: civil society organisations, including non-governmental and not for profit organisation, faith-based organisations, and private-sector non-profit agencies, institutions and organisations and networks thereof registered at sub-national or national level; such as charities and societies, trade unions and labour federations, employers' federation, chambers of commerce, professional associations, public-sector non-profit institutions of higher learning and centres attached to them, **and**
  - Be directly responsible for the preparation and management of the action with the co-applicant(s) and affiliated entity(ies), not acting as an intermediary **and**
  - Be able to demonstrate to have regularly carried out activities in the field covered by this Call for Proposal.

NSAs established in a Member State of the European Union or of African Union and have established office in Ethiopia are eligible as co-applicants only.

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

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<sup>5</sup>Note that a lead applicant (i.e. a Coordinator) whose pillars have been positively assessed by the European Commission and who is awarded a grant will not sign the standard grant contract published with these guidelines but a PA Grant Agreement based on the PAGoDA template. All references in these guidelines and other documents related to this call to the standard grant contract shall in this case be understood as referring to the relevant provisions of the PAGoDA template.

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

The lead applicant may act individually or with co-applicant(s)]

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

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

Proposals for actions with co-applicants are generally encouraged. Specifically, under lot 3, proposals with co-applicants that demonstrate cross-sector alliance amongst NSA typologies will be favourably considered. In addition, applications from public-sector non-profit institutions of higher learning and centres attached to them should include strong capacity building actions for NSAs as final beneficiaries and/or joint actions with NSAs as co-applicants.

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

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

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

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

## **2.1.2 Affiliated entities**

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

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

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

This structural link encompasses mainly two notions:

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

Entities affiliated to applicant may hence be:

- Entities directly or indirectly controlled by an applicant (daughter companies or first-tier subsidiaries). They may also be entities controlled by an entity controlled by an applicant (granddaughter companies or second-tier subsidiaries) and the same applies to further tiers of control;
- Entities directly or indirectly controlling the applicant (parent companies). Likewise, they may be entities controlling an entity controlling the applicant;
- Entities under the same direct or indirect control as the applicant (sister companies).

- (ii) Membership, i.e. the applicant is legally defined as a e.g. network, federation, association in which the proposed affiliated entities also participate or the applicant participates in the same entity (e.g. network, federation, association) as the proposed affiliated entities.



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

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

#### What is not an affiliated entity?

The following are not considered entities affiliated to an applicant:

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

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

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

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

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

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

### ***2.1.3 Associates and Contractors***

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

- Associates

Other organisations may be involved in the action. Such associates play a real role in the action but may not receive funding from the grant, with the exception of per diem or travel costs. Associates do not have to meet the eligibility criteria referred to in section 2.1.1. Associates must be mentioned in Annex A.2., section 6 — ‘Associates participating in the action’.

- Contractors

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

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

##### **Definition**

An action is composed of a set of activities.

##### **Duration**

The initial planned duration of an action may not be lower than 12 months nor exceed 30 months.

##### **Sectors or themes**

Actions must target one of the following sectors or themes:

- Under the sector covered by **lot 1** (“Supporting the Ethiopian NSAs’ role in natural resources management”), there are two main themes that can be targeted separately by the applicants:
  - The first theme is linked to a series of innovative local-level NSA actions for mitigation and adaptation to climate change: Ethiopia plans to achieve climate resilient and green middle-income economy status by 2025 with zero net emission. This priority aims at supporting NSA environmental actions under the framework of the Climate Resilient Green Economy Policy (CRGE).
  - The second theme focuses on innovative actions to strengthen socio-economic benefits of natural resources-based industrial and agro-industrial development initiatives: These will include collaborative environmental actions in support of livelihoods and well-beings of communities residing in the immediate neighbourhood where major natural resource-based development initiatives are being implemented. The actions under this theme will contribute among others to the implementation of the Ethiopian Extractive Industries Transparency Initiative in such areas as consultations, rehabilitation obligations, oversight and exercise of corporate social responsibility.
- Under the sector covered by **lot 2** (“Supporting the Ethiopian non state actors’ role in deepening governance”), three themes have been identified for priority actions aimed at:
  - Strengthening dialogue and awareness towards the progressive realisation of socio-economic rights in the focal areas of the GTP: Monitoring socio-economic rights is especially relevant for the most vulnerable who experience a number of barriers that block their access to resources, opportunities and services, resulting in social exclusion and discrimination (women, offenders, youth and PWDs). Envisaged actions under the theme include sensitization/education on the key socio-economic rights, institutionalisation of accountability mechanisms at local or national levels, systemic tracking of progresses towards realisation, and alerting and demanding authorities to protect and fulfil these rights.
  - Provision of innovative governance services (including actions to promote gender equality): The envisaged actions relate to the promotion of good governance and democratic governance practices. NSAs sensitise/educate weak and vulnerable groups about their constitutional rights and encourage/assist them to exercise those rights, including actions to promote gender equality, end gender based violence/violence against women and empower women. There is an equally important task of alerting and demanding accountability from authorities to respect and fulfil these rights. By providing services to survivors of rights violations and/or by compiling credible evidence from process monitoring/researching, NSAs could inform and maintain dialogue with decision makers to address underlying causes.

- Media based NSA actions to strengthen governance: This priority aims at developing a better sensitized media practitioners group to issues of development at large and governance, including human rights and democratic practices. Joint or individual initiatives of NSAs aiming at facilitating the airing of views and interests of the key groupings of socio-economic and political processes will be among the domains of priorities<sup>6</sup>.

The **3rd lot** (“Supporting a multi-stakeholder, constituency-based approach to strengthen roles of NSAs’ in development”) focuses on one theme only: Strengthening the institutional capacity of the range of NSAs has become a priority action to address fragmentation and ensure their active participation in the development of the country. The priority relates to strengthening alliance within NSAs for inter-institutional learning's, strengthening accountability, transparency and thereby participate in key national and global development processes. This lot aims at increasing the role of civil society in promoting inclusive development and entrenching democratic principles through enhanced organisational and institutional capacity of the whole range of non-state actors locally, individually and of NSAs as a sector, by supportive collaborative agreements, joint projects and collective actions.

The theme of capacity building needs specific attention:

Within CSF II, capacity building is considered a key mechanism to assist NSAs in activities focusing on their manpower, internal systems and institution building to address both their immediate and longer-term, strategic needs. Under this Call for Proposals, applicants are reminded to consider capacity building as an additional priority and to mainstream strategies within the proposed actions by emphasising the following aspects:

- Achieving organisational purpose involves capacity not just of the internal organisational system but also of the overall system, including the environment or context, in which individuals, organisations and societies operate and interact. Thus, capacity building should address ability at the individual, the organisation and the broader system level.
- Capacity building should be carried out as a continuous exercise. In this sense, capacity building is linked to the concept of learning organisation. The learning concept involves constant changes and experiments by using feedbacks of processes and results, transforming individual and organisational practices and values and adjustment of structures to cope with changes.

The applicant’s attention is drawn to the CSF II’s commitment to mainstreaming environmental issues, gender equality and women empowerment in all areas described above. All concept notes and project proposals should demonstrably take those issues into account by incorporating references as to how environmental concerns and gender equality are incorporated in the conceptual framework of the project and how gender mainstreaming will be monitored and its impact measured.

**Location**

Actions must take place within the Federal Democratic Republic of Ethiopia

**Types of action**

**Under lot 1:** The following are non-exhaustive list of activities applicants may consider in their proposals:

- a) Implementation of adaptation and mitigation actions to ensure sustainable use of natural resources and environmental protection. Actions focusing on innovative approaches towards a better adaptation of the local economy and livelihood to changes in climate and environment are anticipated. Assisting or facilitating the mainstreaming of adaptation at local levels, mobilisation and strengthening of key stakeholders, and implementation of innovative pilot actions for environmental protection and/or disaster risk reduction in areas with high vulnerabilities represents an example of combinations of

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<sup>6</sup>Since eligibility is restricted to non-profit NSAs, the for-profit media operators are encouraged to approach eligible NSAs, establish ad hoc partnerships and develop joint projects/actions addressing the thematic areas

activities in a project. Other possible activities could include promotion of renewable and appropriate (climate smart) technologies for household and on-farm use and community/group schemes for waste management including recycling. Because of the disproportionate effects of climate change on small scale farmers in general and rural women in particular, activities that aim at reducing their workload and drudgeries and other related vulnerabilities, for example through introduction of climate-smart technologies, are encouraged.

Actions aiming at promoting alternative solutions, recognising and promoting best practices to mitigate effects of climate change at local levels on the vulnerable segments of society

- b) Capacity building of local CSOs to participate in consultations and provide support services to communities or groups that could have been affected or not served by development endeavours in their close vicinity, including for example by strengthening collaboration between key stakeholders at local levels, through implementation of joint actions in support of social development, transparency and accountability (in compliance with the oversight and governance frameworks such as the Ethiopian Extractive Industries Transparency Initiative (EITI)).
- c) Actions aiming at enabling communities affected by environmental degradation and pollution to discuss factors behind, develop and implement strategies that range from conservation/reclamation works, enforcement of environmental laws/norms and demanding accountability from responsible entities.

### **Under lot 2:**

The following are non-exhaustive list of activities applicants may consider in their proposals:

- a) Innovative actions aimed at strengthening the collaboration and interactions between the different categories and levels of non-state actors and the different spheres of governance (Legislative, Judiciary and Executive) and looking at developing locally relevant methods, tools, skills, and joint venture and partnership between NSAs and government and public institutions at regional and federal levels for monitoring socio-economic rights through monitoring legislation and policies, budgets, rights violations and remedies or redress mechanism.
- b) Actions aiming at socio-economic rights education, civic education, access to information, rule of law/human rights (including women rights and gender equality), monitoring and compilation and presentation of independent (shadow) reports, linking with existing service delivery and governance monitoring mechanisms and relevant knowledge management system.
- c) Actions aimed at developing access to justice and rights through supporting the emergence of paralegal movement (coalition building and membership development, scaling up of existing interventions, skills development and capacity building, legal advice and legal literacy, legal aid clinics, awareness and public education on human rights, curriculum and material development, setting up of minimum norms and standards) to support existing institutions such as social courts, universities' community and outreach projects.
- d) Actions aiming at enhancing the understanding of victim empowerment, restorative justice, social crime prevention and provision of relevant psycho-social services, community-based reintegration and rehabilitation of offenders' projects, especially with a focus on young offenders, youth in conflict with the law and victims of gender-based violence.
- e) Actions aiming at enhancing nation and peace building in areas where persist sectarian divisions resulting from ethnic, historical, social cross-border and/or political conditions through innovative approaches such as targeted inter-community dialogues and reconciliation initiatives involving customary dispute management and conflict resolutions mechanisms that foster confidence-building, trust in the institutions and community safety.
- f) Actions aiming at encouraging attitude and behaviour changes with media professionals/practitioners with regards to monitoring and reporting on good governance and progressive realisation of rights through such interventions as skills development and networking. The promotion of dialogue and collaboration between media practitioners, citizens, NSAs, legislative bodies, government executives and other socio-economic and political actors is an equally important action area. Moreover, the

strengthening of social media, actions aimed at community media and alternative media such as performing arts towards the above effects will also be appreciated. The facilitation and hosting of regular debates amongst groups and parties having differing and contending views and interests on topical national issues is another activity area for consideration, and

- g) Actions aiming at increasing the capacity of media to gain access to information and produce local content aimed at public education (regular insert or supplement, radio talk-shows or phone-ins, etc.) in targeted areas/sectors (reporting on corruption, services, etc). Actions could also include support for development of editorial content by CSOs for dissemination through appropriate media.

### **Under lot 3:**

- a) Innovative actions for NSAs to improve their internal governance and organisational capacity in order for them to better serve their membership and constituency through strategic organisational development (OD) interventions aimed at institutional audits and review process, strategic development and planning process, developing/maintaining membership registers, setting up transparent financial and administrative policies and systems, enhancing knowledge management and resource mobilisation, supporting establishment and implementation of sector-wide code of conduct, etc.
- b) Joint actions aimed at supporting the participation of all NSAs in dialogue and advocacy on governance overall but with a specific interest on global economic governance and particularly on implications of Ethiopia's integration into regional, continental and global trading systems (WTO, EPA and COMESA/EAC/SADC FTA) with regards to trade, revenue, intellectual property, services as well as African Union programme and processes (NEPAD, CAADP, etc.).
- c) Actions aimed at facilitating the evolution and strengthening of newer forms of socio-economic institutions representing the weak and vulnerable segments of society (such as Self-Help Groups), for active participation in local development and governance processes.

The following types of action are ineligible:

- actions concerned only or mainly with individual sponsorships for participation in workshops, seminars, conferences and congresses;
- actions concerned only or mainly with individual scholarships for studies or training courses;
- one-off conferences: conferences can only be funded if they form part of a wider range of activities to be implemented in the project life-time. Pre and post conferences activities (such as preparation, proceedings publications, etc) do not in themselves constitute such "wider activities";
- actions concerned solely with a narrow interpretation of institutional or organisational strengthening of the co-applicants with activities that could indicatively include material support (logistics, equipment, vehicles, etc) or human resources (applicants' skills development processes or additional staff), etc.
- actions which consist exclusively or primarily in capital expenditures e.g. land, buildings, equipment and vehicles ;
- actions engendering any form of discrimination against individuals or groups on the grounds of gender, ethnicity, sexual orientation, political affiliation, religious belief or lack of them, age or disability and health status;
- actions pursuing a narrow political agenda or supporting political parties;
- actions of a proselyte nature.

### **Types of activity**

The types of activity which are eligible and may be financed are those directly contributing to the achievement of the objectives, priorities and main principles as per section 1.2 above, within the confine of the themes and sectors of this call (as per section 2.1.4 above).

Activities may include, but are not limited to:

- Capacity building and skills development interventions (including curriculum and material development);
- Scaling up of existing and innovative service delivery interventions focused on identified basic social services bottlenecks in the priority areas of the GTP2, EU-Ethiopia cooperation, this call for proposal, and the Millennium/Sustainable Development Goals.
- Development and implementation of tools, mechanisms, systems, methodologies;
- Strategic public interest litigation (including but not limited to class action or constitutional litigation) and quasi-judicial and non-judicial redress mechanisms;
- Advocacy;
- Local consultation processes and community/constituency mobilisation interventions;
- Joint projects, alliance or partnership formation, network building;
- Research actions in support of other activities (especially participatory forms of research);
- Participation in public processes and oversight initiatives;
- Civic engagement in monitoring, planning and budgeting;
- Civic and public education and information sharing;
- Leadership development;
- Production, collection and dissemination of knowledge;

### **Financial support to third parties<sup>7</sup>**

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

The maximum amount of financial support per third party is EUR 60,000.

Under this call, financial support to third parties may not be the main purpose of the action.

In compliance with the present guidelines and notably of any conditions or restrictions in this section, the lead applicant should define mandatorily in section 2.1.1 of the grant application form:

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

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

### **Visibility**

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

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

### **Number of applications and grants per applicants / affiliated entities**

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<sup>7</sup>These third parties are neither affiliated entity(ies) nor associates nor contractors.

The lead applicant may not submit more than one application under this call for proposals.

The lead applicant may not be awarded more than one grant under this call for proposals.

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

A co-applicant/affiliated entity may not submit more than one application under this call for proposals.

A co-applicant/affiliated entity may not be awarded more than one grant under this call for proposals.

### ***2.1.5 Eligibility of costs: costs that can be included***

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

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

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

Simplified cost options may take the form of:

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

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

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

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

- describe the information and methods used to establish the amounts of unit costs, lump sums and/or flat-rates, to which costs they refer, etc.
- clearly explain the formulas for calculation of the final eligible amount<sup>8</sup>

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<sup>8</sup> Examples:- for staff costs: number of hours or days of work \* hourly or daily rate pre-set according to the category of personnel concerned;- for travel expenses: distance in km \* pre-set cost of transport per km; number of days \* daily allowance pre-set according to the country;- for specific costs arising from the organization of an event: number of participants at the event \* pre-set total cost per participant etc.

- identify the beneficiary who will use the simplified cost option (in case of affiliated entity, specify first the beneficiary), in order to verify the maximum amount per each beneficiary (which includes if applicable simplified cost options of its affiliated entity(ies))

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

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

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

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

### **Eligible direct costs**

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

### **Contingency reserve**

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

### **Eligible indirect costs**

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

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

### **Contributions in kind**

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

Contributions in kind may not be treated as co-financing

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

### **Ineligible costs**

The following costs are not eligible:

- debts and debt service charges (interest);
- provisions for losses or potential future liabilities;
- costs declared by the beneficiary(ies) and financed by another action or work programme receiving a European Union (including through EDF) grant;
- purchases of land or buildings, except where necessary for the direct implementation of the action, in which case ownership must be transferred, in accordance with Article 7.5 of the General Conditions of the standard grant contract, at the latest at the end of the action;



- currency exchange losses;
- credit to third parties.

## 2.2 HOW TO APPLY AND THE PROCEDURES TO FOLLOW

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

I. Provide information about the organisations involved in the action. Please note that the registration of this data in **PADOR is obligatory**<sup>9</sup> for this call for proposals:

**Concept note step:** Registration is obligatory for lead applicants applying for EU contributions of more than EUR 60 000.

**Full application step:** Registration is obligatory for co-applicant(s) and affiliated entity(ies). Lead applicants must make sure that their PADOR profile is up to date.

II. Provide information about the action in the documents listed under sections 2.2.2 (concept note) and 2.2.5 (full application). Please note that online submission via **PROSPECT is obligatory** for this call,

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

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

If it is impossible to register online in PADOR for technical reasons, the applicants and/or affiliated entity(ies) must complete the 'PADOR off-line form'<sup>10</sup> attached to these guidelines. This form must be sent **together with the application**, by the submission deadline (see sections 2.2.2 and 2.2.5).

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

### 2.2.1 Concept note content

Applications must be submitted in accordance with the concept note instructions in the grant application form<sup>11</sup> annexed to these guidelines (Annex A.1). Applicants must apply in English.

Please note that:

1. In the concept note lead applicants must provide only an estimate of the **requested EU contribution**, as well as an indicative percentage of this contribution in relation to the total eligible costs of the action. A detailed budget is to be submitted only by lead applicants invited to submit a full application in the second phase
2. The elements outlined in the concept note may not be modified in the full application form. The EU contribution may not vary from the initial estimate by more than 20%. Lead applicants are free to adapt the requested EU contribution as a percentage of the total eligible costs within the minimum and maximum amounts and percentages provided in section 1.3. Own contributions by the applicants can be replaced by other donors' contributions at any time.

<sup>9</sup> Natural persons who apply for a grant (if so allowed in the guidelines for applicants) do not have to register in PADOR. In this case, the information included in PROSPECT and the grant application form is sufficient.

<sup>10</sup> Which corresponds to sections 3 and 4 of the full application form – Annex A.2.

<sup>11</sup> The grant application form consists of Annex A.1 – concept note and Annex A.2 – full application form.

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

Any error or major discrepancy related to the concept note instructions may lead to the rejection of the concept note.

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

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

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

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

If it is impossible for lead applicants to submit their concept note online via PROSPECT for technical reasons, they must send their proposal in a sealed envelope and attach the concept note together with the declaration by the lead applicant (**Annex A.1 section 2**). In particular, the lead applicant must send, in a sealed envelope as described below the following items:

- a. One original of the concept note. The signed declaration by the lead applicant (Annex A.1 section 2) must be printed and stapled separately and enclosed in the envelope
- b. Two additional copies in A4 size, each bound.
- c. An electronic version (e.g CD-Rom) of the items under point (a) . The electronic file must contain **exactly the same** application as the paper version enclosed.

The 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 lead applicant, and the words '**Not to be opened before the opening session**' and 'ከጨረታሰዓትበፊትአንዳይከፈት']

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

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) to the address below. Where lead applicants send several concept notes (if allowed to do so by the guidelines of the call), each one must be sent separately:

Postal address:

Delegation of the European Union to Ethiopia  
Finance, Contract and Audit Section  
Cape-Verde Road  
P.O. Box 5570, ADDIS ABEBA

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

Delegation of the European Union to Ethiopia  
Finance, Contract and Audit Section  
Cape Verde Street (opposite Desalegn Hotel)  
Cape-Verde Road  
P.O. Box 5570, ADDIS ABEBA

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

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

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

The deadline for the submission of concept notes is **15 September 2015 at 15:00 hours** (Brussels date and time). In order to convert this deadline to local time you can use any online time converter tool that takes into account timezones and winter/summer time changes (example available <sup>12</sup>here). **The lead applicant is strongly advised not to wait until the last day to submit** its concept note, since heavy Internet traffic or a fault with the Internet connection (including electricity failure, etc.) could lead to difficulties in submission. The Contracting Authority cannot be held responsible for any delay due to such aforementioned difficulties.

In the exceptional case of submission by post or by hand delivery (see section 2.2.2), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 17:00 hours local time as evidenced by the signed and dated receipt.

Any concept note submitted after the deadline will be rejected.

However, for reasons of administrative efficiency, the Contracting Authority may also reject any concept note sent in due time but 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 about concept notes***

A central information session on this call for proposals will be held on 30 July, at 14:00 at Desalegn Hotel (Bole area) in Addis Ababa. Schedule of regional information sessions can be found on the websites: <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome>, and <http://www.csf2.org/>

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

E-mail address: [DELEGATION-ETHIOPIA-CSF@eeas.europa.eu](mailto:DELEGATION-ETHIOPIA-CSF@eeas.europa.eu) and [csf2helpdesk@gmail.com](mailto:csf2helpdesk@gmail.com)

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and <http://www.csf2.org/>, as appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

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<sup>12</sup>For example: <http://www.timeanddate.com/worldclock/converter.html>.

### **2.2.5 Full applications**

Lead applicants invited to submit a full application following pre-selection of their concept note must do so using the full application form annexed to these guidelines (Annex A.2).

Applications must be submitted in accordance with the full application instructions at the end of Annex A.2. Lead applicants must submit their full applications in the same language as their concept notes.

Please note that:

1. The elements outlined in the concept note cannot be modified by the lead applicant in the full application form. The EU contribution may not vary from the initial estimate by more than 20%, although lead applicants are free to adapt the percentage of co-financing required within the minimum and maximum amount and percentages of co-financing, as laid down in these guidelines under section 1.3.
2. A copy of the lead applicant's accounts of the latest financial year (the profit and loss account and the balance sheet for the last financial year for which the accounts have been closed) must be uploaded in PADOR by the full application deadline. A copy of the latest account is neither required from (if any) the co-applicant(s) nor from (if any) affiliated entity(ies)).
3. Only the full application form and the published annexes which have to be filled in (budget, logical framework) will be transmitted to the evaluators (and assessors, if used). It is therefore of utmost importance that these documents contain **ALL the relevant information** concerning the action. **No additional annexes should be sent.**

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

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

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

Full application forms together with the budget, the logical framework and the declaration by the lead applicant must be submitted online via PROSPECT <https://webgate.ec.europa.eu/europeaid/prospect> following the instructions given in the users' manual.

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

(a) If the lead applicant submitted the concept note by post / hand delivery (see section 2.2.3) it must send the full application by the same means (by post or hand delivery).

(b) If the lead applicant submitted the concept note online via PROSPECT but it is technically impossible for the organisation to submit the full application online:

In the above two cases the lead applicant must send by post the application, i.e. the full application form, the budget, the logical framework and the declaration by the lead applicant. The lead applicant must send, in a sealed envelope as described below, the following items:

- a. One original signed copy of the full application form, the budget and the logical framework. The declaration by the lead applicant (Annex A.2, section 5) must be printed and stapled separately and enclosed in the envelope
- b. Two additional copies in A4 size, each bound.
- c. An electronic version (e.g. CD-Rom) of the items under point (a). The electronic file must contain exactly the same application as the paper version enclosed.

To reduce expense and waste, we strongly recommend that you use only paper for your file (no plastic folders or dividers). Please also use double-sided printing if possible

Applications must be submitted in a sealed envelope by registered mail, private courier service or by hand-delivery (a signed and dated certificate of receipt will be given to the deliverer) to the address below. Where lead applicants send several applications (if allowed to do so by the guidelines of the call), each one must be sent separately:

Postal address

**Delegation of the European Union to Ethiopia  
Finance, Contract and Audit Section  
Cape-Verde Road  
P.O. Box 5570, ADDIS ABEBA**

Address for hand delivery or by private courier service

**Delegation of the European Union to Ethiopia  
Finance, Contract and Audit Section  
Cape-Verde Road (Opposite Desalegn Hotel)  
P.O. Box 5570, ADDIS ABEBA**

The envelope must bear the **reference number and the title of the call for proposals**, together with the number and title of the lot, the full name and address of the lead applicant, and the words ‘Not to be opened before the opening session’ and ‘ከጨረታሰዓት በፊት እንዳይከፈት’

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

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

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

The deadline for the submission of full applications will be indicated in the letter sent to the lead applicants whose application has been pre-selected. This letter will appear online automatically in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2.6) had to submit their application by post or hand-delivery, will receive the letter by email or by post if no e-mail address was provided.

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

In the case of submission by post, (see section 2.2.6), the date of submission is evidenced by the date of dispatch, the postmark or the date of the deposit slip. In the case of hand-deliveries, the deadline for receipt is at 17:00 hours local time<sup>13</sup> as evidenced by the signed and dated receipt.

Any application submitted after the deadline will be rejected.

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<sup>13</sup> Please use an online time converter tool, such as <http://www.timeanddate.com/worldclock/converter.html>.

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

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

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

E-mail address: [DELEGATION-ETHIOPIA-CSF@eeas.europa.eu](mailto:DELEGATION-ETHIOPIA-CSF@eeas.europa.eu) and [csf2helpdesk@gmail.com](mailto:csf2helpdesk@gmail.com)

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

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

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

No individual replies will be given to questions. All questions and answers as well as other important notices to applicants during the course of the evaluation procedure, will be published on the EuropeAid website <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and <http://www.csf2.org/as> appropriate. It is therefore advisable to consult the abovementioned website regularly in order to be informed of the questions and answers published.

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

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

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

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

## STEP 1: OPENING & ADMINISTRATIVE CHECKS AND CONCEPT NOTE EVALUATION

During the opening<sup>14</sup> and administrative check(including the eligibility check of the action)the following will be assessed:

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

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

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

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

### Evaluation Grid

Section	Maximum Score
<b>1. Relevance of the action</b>	<b>30</b>
1.1. How relevant is the proposal to the objectives and priorities of the Call for Proposals?*	5x2**
1.2. How relevant to the particular needs and constraints of the target country(ies) or region(s) is the proposal (including synergy with other EU initiatives and avoidance of duplication)?*	5x2**
1.3. How clearly defined and strategically chosen are those involved (final beneficiaries, target groups)? Have their needs been clearly defined and does the proposal address them appropriately?*	5
1.4. Does the proposal contain specific added-value elements, such as environmental issues, promotion of gender equality and equal opportunities, needs of disabled people, rights of minorities and rights of indigenous peoples, or innovation and best practices [and the other additional elements indicated under 1.2. of these guidelines]?*	5
<b>2. Design of the action</b>	<b>20</b>
2.1. How coherent is the overall design of the action? In particular, does it reflect the analysis of the problems involved, take into account external factors and relevant stakeholders?	5x2**
2.2. Is the action feasible and consistent in relation to the objectives and expected results?	5x2**
<b>Maximum total score</b>	<b>50</b>

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

<sup>14</sup>Only where some applications have been submitted offline.



Concept notes with a score lower than 30 will be rejected.

Concept notes that reach the above threshold will be ranked by score. The highest scoring applications will be pre-selected until the limit of 200% of the available budget for this call for proposals is reached. The amount of requested contributions of each concept note will be based on the indicative financial envelopes for each lot, where relevant.

Lead applicants will receive a letter indicating the reference number of their application and the respective results. This letter will automatically appear online in the PROSPECT profile of the lead applicant. Lead applicants who, in exceptional cases (see section 2.2), had to submit their application by post or hand-delivery will receive the letter by email or by post if no e-mail address was provided.

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

## STEP 2: OPENING & ADMINISTRATIVE CHECK AND EVALUATION OF THE FULL APPLICATION

During the opening<sup>15</sup> and administrative check (including the eligibility check of the action) for full applications the following will be assessed:

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

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

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

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

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

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

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

### Evaluation Grid<sup>16</sup>

Section	Maximum Score
<b>1. Financial and operational capacity</b>	<b>20</b>
1.1. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient experience of project management?	5
1.2. Do the applicants and, if applicable, their affiliated entity(ies) have sufficient technical expertise (especially knowledge of the issues to be addressed)?	5

<sup>15</sup> Only where some applications have been submitted offline.

<sup>16</sup> Note that the relevance may be re-evaluated in the cases described in sections 6.5.7 and 6.5.8. of the Practical Guide.

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

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

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

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

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

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

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

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

## 2.4 SUBMISSION OF SUPPORTING DOCUMENTS FOR PROVISIONALLY SELECTED APPLICATIONS

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

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

1. The statutes or articles of association of the lead applicant, (if any) of each co-applicant and (if any) of each affiliated entity<sup>17</sup>. Where the Contracting Authority has recognised the lead applicant's, or the co-applicant(s)'s, or their affiliated entity(ies)'s eligibility for another call for proposals under the same budget line within 2 years before the deadline for receipt of applications, it should be submitted, instead of the statutes or articles of association, a copy of the document proving their eligibility in a former call (e.g. a copy of the Special Conditions of a grant contract received during the reference period), unless a change in legal status has occurred in the meantime<sup>18</sup>. This obligation does not apply to international organisations which have signed a framework agreement with the European Commission.
2. An external audit report produced by an approved auditor, certifying the lead applicant's accounts for the last financial year available where the total amount of the grant exceeds EUR 750 000 (EUR 100 000 for an operating grant). The external audit report is not required from (if any) the co-applicant(s)).

The above obligation does not apply to public-sector non-profit institutions of higher learning and centres attached to them

3. Legal entity sheet (see Annex D of these guidelines) duly completed and signed by each of the applicants (i.e. by the lead applicant and (if any) by each co-applicant), accompanied by the justifying documents requested there. If the applicants have already signed a contract with the Contracting Authority, instead of the legal entity sheet and supporting documents, the legal entity number may be provided, unless a change in legal status occurred in the meantime.
4. A financial identification form of the lead applicant (not from co-applicant(s)) conforming to the model attached at Annex E of these guidelines, certified by the bank to which the payments will be made. This bank should be located in the country where the lead applicant is established. If the lead applicant has already submitted a financial identification form in the past for a contract where the European Commission was in charge of the payments and intends to use the same bank account, a copy of the previous financial identification form may be provided instead.

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

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

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

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

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

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

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

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

## **2.5 NOTIFICATION OF THE CONTRACTING AUTHORITY'S DECISION**

### ***2.5.1 Content of the decision***

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

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

## 2.5.2 Indicative timetable

	DATE	TIME*
<b>Information meeting (if any)</b>	30 July 2015 at Desalegn Hotel	14:00 Hours
<b>Deadline for requesting any clarifications from the Contracting Authority</b>	25/08/2015	17:00Hours
<b>Last date on which clarifications are issued by the Contracting Authority</b>	03/09/2015	-
<b>Deadline for submission of concept notes</b>	15/09/2015	17:00Hours
<b>Information to lead applicants on opening, administrative checks and concept note evaluation (Step 1)</b>	12/10/2015*	-
<b>Invitations to submit full applications</b>	12/10/2015*	-
<b>Deadline for submission of full applications</b>	01/12/2015*	-
<b>Information to lead applicants on the evaluation of the full applications (Step 2)<sup>19</sup></b>	12/01/2016*	-
<b>Notification of award (after the eligibility check) (Step 3)</b>	27/01/2016*	-
<b>Contract signature<sup>20</sup></b>	31/03/2016*	-

\***Provisional date.** All times are in local time.

This indicative timetable may be updated by the Contracting Authority during the procedure. In such cases, the updated timetable will be published on the EuropeAid web site <https://webgate.ec.europa.eu/europeaid/online-services/index.cfm?do=publi.welcome> and <http://www.csf2.org/>

<sup>19</sup>Note that according to the financial regulation, in direct management, applicants must be notified the outcome of the evaluation of their applications within 6 months following the submission deadline of the full application. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants.

<sup>20</sup>Note that according to the financial regulation, in direct management the grant contract must be signed within 3 months following the notification of the award decision. This time-limit may be exceeded in exceptional cases, in particular for complex actions (including multi-beneficiary calls), large number of proposals or in case of delays attributable to the applicants

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

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

### Implementation contracts

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

## **2.7 EARLY WARNING SYSTEM AND CENTRAL EXCLUSION DATABASE**

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

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

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



### 3 LIST OF ANNEXES

**NOTE THAT ALL ANNEXES MUST BE ADAPTED AS FORESEEN TO THE CALL AND PUBLISHED TOGETHER WITH THE GUIDELINES**

#### **DOCUMENTS TO BE COMPLETED**

- Annex A: Grant Application Form (Word format)
- Annex B: Budget (Excel format)
- Annex C: Logical Framework (Word format)<sup>21</sup>
- Annex D: Legal Entity Sheet
- Annex E: Financial identification form
- Annex F: PADOR off Line Form

#### **DOCUMENTS FOR INFORMATION<sup>22</sup>**

- Annex G: Standard Grant Contract
  - Annex II: General conditions
  - Annex IV: contract award procedures
  - Annex V: standard request for payment
  - Annex VI: model narrative and financial report
  - Annex VII: model report of factual findings and terms of reference for an expenditure verification of an EU financed grant contract for external action
  - Annex VIII: model financial guarantee
  - Annex IX: standard template for transfer of ownership of assets
- Annex H: Daily allowance rates (Per diem), available at the following address:  
[http://ec.europa.eu/europeaid/perdiem\\_en](http://ec.europa.eu/europeaid/perdiem_en)
- Annex J: Information on the tax regime applicable to grant contracts signed under the call
- Annex K: Guidelines and Checklist for assessing Budget and Simplified cost options.

#### **USEFUL LINKS**

##### **PROJECT CYCLE MANAGEMENT GUIDELINES**

[https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1\\_en](https://ec.europa.eu/europeaid/aid-delivery-methods-project-cycle-management-guidelines-vol-1_en)

##### **THE IMPLEMENTATION OF GRANT CONTRACTS - A USERS' GUIDE**

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

##### **FINANCIAL TOOLKIT**

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

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<sup>21</sup> Optional where the total amount of the grants to be awarded under the call for proposals is EUR 100 000 or less.

<sup>22</sup> These documents should also be published by the Contracting Authority.

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

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